



A Report to the United States Senate
Committee on Appropriations

State Capability Assessment for Readiness



Under the Federal/State
Performance Partnership Agreement

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The emergency management profession is one of the broadest of all career fields, encompassing professionals from many organizations throughout Government at Federal, State, and local levels; business and industry; non-Governmental organizations; private non-profits; and individual citizens. Federal Emergency Management Agency (FEMA) financial assistance, through State and local grants, assists these professionals, directly or indirectly, in performing their respective roles in the emergency management network.

Foreword

When Senator Christopher Bond, Chairman of the Veterans Affairs, Housing Urban Development, and Independent Agencies Subcommittee of the United States Senate Committee on

Appropriations, asked me to provide a report on how we at FEMA could ensure that States, as the primary recipients of FEMA grants, are capable of performing their emergency management responsibilities, I was struck by the challenge of assessing capability for 56 States, Territories, and Insular Areas to respond to the full range of hazards that confront them and still recognize their individual geographical, meteorological, and geophysical peculiarities. This challenge was compounded by the recognition that no formal standards exist for the complex field of emergency management. Responding to this challenge through a national self-assessment has brought about a series of remarkable results that will propel and inspire the emergency management profession into the 21st century.

First and foremost, the assessment documented that the Nation's investment in our emergency management infrastructure has paid preparedness dividends. We have States that are operationally ready to respond to the diverse threats that confront them, and they are making progress in the areas of disaster resistance and mitigation as well. Secondly, we have seen that the relationship between States and their Federal partners has strengthened through new approaches such as the Federal-State Performance Partnership Agreements (PPAs). Thirdly, we have learned that a partnership approach can provide accountability for Federal grant programs, while allowing the States the flexibility they need to tailor their programs to their strategic needs. Finally, the assessment underscores that where strong standards exist for emergency management performance, such as in the Radiological Emergency Preparedness (REP) Program and Chemical Stockpile Emergency Preparedness Program (CSEPP), State programs are stronger overall. This underscores the need for established standards and that Federal grant assistance is a necessary ingredient for enhancing State capabilities.

Some areas need immediate attention and requisite action. Sound mitigation practices are needed to address the very critical areas of hazard identification and vulnerability assessment. These areas are key to State and local level mitigation strategies together with building public and private alliances and partnerships to support development of disaster resistant communities. The new and growing threat from terrorism, both foreign and domestic, especially those employing nuclear, chemical, or biological agents, will require new techniques and technologies for first responders and emergency managers. Disaster housing was identified as a challenge for State emergency managers as was coordination between Government and the private sector during disasters. The overall area of resource management in disasters and the associated logistical challenges also require focused attention, though we are making progress.

In reviewing the Capability Assessment for Readiness (CAR), it is important to keep in mind that this is the first or baseline year. A national assessment of this type has never been attempted before, much less completed within such a short timeframe. We are aware that the data collection instrument requires refinement and are already taking aggressive steps in that direction with our partners in the States. The fact remains, however, that all our State partners assessed their

emergency management programs across the full range of hazards using the same tools and scoring system. Their reports reflect professional integrity and refreshing candor about their strengths and areas that require increased attention. Many have already begun to fold these results into their Fiscal Year 1998 performance plans.

The results of State assessments reflect that progress has been made in many areas in recent years. Our Hazard Mitigation Programs have come of age and are beginning to show results in the way that people think about disaster preparedness and prevention. I have seen a shift in focus from one of disaster response to one of collaborative planning to resist disasters. The concept of Disaster Resistant Communities will soon be piloted and will become the model for the future. We will realize this vision only through continued cooperation and collaboration with our partners and with the strong support of Congress through continued funding of State and local assistance grants and pre-disaster mitigation funds. This investment in the safety and security of the Nation against all of its threats will pay dividends into the 21st century and build a “disaster resistant America.”

James L. Witt
Director
Federal Emergency Management Agency

December 10, 1997

Since 1993, more than 1.4 million Americans have been impacted by disasters that resulted in Presidential declarations, and many thousands more have been impacted by events that were managed at the State and local levels.

Overview

In fact, all of us are affected by the ever-increasing costs of disasters. From 1989 to 1993, the average annual losses from disasters were \$3.3 billion. During the last 4 years, the average annual losses have increased to \$13 billion. On the Federal side alone, disasters have cost a total of more than \$20 billion in public funds that might otherwise have been used for public education, job training, and health care—for investments in our children and our Nation's future.

In cooperation with the National Emergency Management Association (NEMA), the Federal Emergency Management Agency (FEMA) has aggressively worked to reduce disaster costs. The primary thrust of this effort has been to establish sound preparedness and mitigation practices throughout the United States in order to reduce the effects of disasters. The vehicle for achieving this, the Performance Partnership Agreement (PPA) between FEMA Regions and all States, Territories, and Insular Areas, addresses the strategic objectives of the Federal-State emergency management partnership.

The PPA was first implemented in 1995 and, since that time, there has been a need to assess progress towards the goals outlined in the PPA. The Capability Assessment for Readiness (CAR) process was developed in partnership with the States to answer that need, as well as respond to the Congressional requests. Through NEMA, the States have given FEMA full support in its implementation and have reported that their experience with CAR has been positive and worthwhile. Our mutual experience has been an honest self-assessment of existing State emergency management capabilities and the operational readiness of the State emergency management infrastructure. Many States are already experimenting in using and/or adapting the process for local use with their county and municipal emergency managers.

The capability assessment process will continue to evolve in the coming years and enhance our programs. Therefore, it represents the firm commitment of both NEMA and FEMA to establish a system for assessing the capability and readiness of each State, Territory, and Insular Area, as part of our broader commitment to our sacred mission of saving lives and protecting property.

The highlighting of exemplary emergency management practices will lead us for future generations and drive the way we plan, train, and exercise our organizations for tomorrow's challenges, helping us build Disaster Resistant Communities.

All of these activities, coupled with FEMA's new "Public/Private Partnership in Emergency Management" initiative, will help raise awareness among State, local, national, and international organizations about the growing need to integrate disaster prevention planning and preparedness as the foundation of emergency management. Many bold new directions in our partnerships for preparedness will ensue.

Kay C. Goss
Associate Director
Federal Emergency Management Agency
The Preparedness, Training, & Exercises Directorate

PURPOSE

This report addresses Federal Emergency Management Agency (FEMA) initiatives to assess national-level emergency management capabilities and analyzes the results of the recently completed pilot assessments by States, Territories, and Insular Areas of their capability and readiness. The report further discusses Federal and State strategies to improve areas the States have indicated in their assessments as not fully meeting their expectations and requirements.

Executive Summary

BACKGROUND

FEMA was charged by the United States Senate Committee on Appropriations to (1) develop national-level performance criteria to measure the capability of the States to perform in the areas of mitigation, preparedness, response, and recovery; and (2) conduct an assessment of the States' capabilities to effectively respond to disasters.

APPROACH

FEMA and the National Emergency Management Association (NEMA) jointly developed the Capability Assessment for Readiness (CAR) process. In June 1997, FEMA fielded the assessment after conducting a training session for State and Regional personnel via a nationwide Emergency Education Network (EENET) satellite television broadcast. From June to August 1997, the States used the CAR instrument to assess their capabilities. The objective was to involve other State agencies and local jurisdictions, if feasible. In most States, this process involved face-to-face FEMA Regional participation. In others, follow-up meetings with the Regional staff were conducted to discuss the results. Regional assistance in this process contributed to a partnership approach to emergency management and was welcomed by the States. A total of 56 States, Territories, and Insular Areas participated in the capability assessment pilot test, a self-assessment of 13 emergency management functional categories, and a simplified rating scale, ensuring that all the States assessed their capabilities and reported their strengths and areas for improvement, based on a common framework.

CONCLUSIONS

The development of CAR fulfills the Committee's requirement for a national set of performance criteria, all of which have been overwhelmingly accepted by the States as a baseline. To add emphasis to this point, several State emergency management directors have declared that they plan to use the results of the assessment in the development of their State strategic plans and for their local government partners.

The central conclusion of this report, based on the analysis of the data, is that the States do have the basic capabilities in place to effectively respond to disasters. In the vast majority of cases, the States can do this without Federal assistance. This does not mean that all capabilities are as strong as they could be, but overall, the data strongly supports the contention that a fundamental emergency preparedness and operational capability exists in the Nation.

The functions that demonstrated program strengths are (1) Laws and Authorities, the legal authorities for the development and maintenance of an emergency management program; (2) Exercises, the evaluation of plans and capabilities based on a program of tests and exercises; (3) Operations and Procedures, the implementation of policies, plans, and procedures in exercises and disaster events; and (4) Finance and Administration, the financial and administration procedures in place before, during, and after disaster events.

. . . the special emphasis placed on mitigation and preparedness for these hazards by the Federal Government and the States has contributed to a remarkably higher level of readiness.

Specific areas that scored exceptionally well include: radiological incident monitoring in jurisdictions located near nuclear power facilities; preparedness programs in the vicinity of chemical stockpile disposal sites; military support planning between States and nearby military installations; and the capability of States to successfully implement programs such as the Individual and Family Grants, Public Assistance, and the Hazard Mitigation Grants.

The functions requiring greater attention are (1) Resource Management, the availability of critical human and physical resources required in disaster response; (2) Hazard Identification and Risk Assessment, the identification of the hazards with the greatest potential to affect lives and property and an assessment of the likelihood, vulnerability, and magnitude of incidents that could result from exposure to hazards; and (3) Logistics and Facilities, the essential facilities and services to support response and recovery operations.

The assessment shows a significant increase in capability for those States facing various geophysical risks, such as hurricanes, floods . . .

Specific areas that were identified as needing significant improvement are: planning and equipment for a response to nuclear, biological, and chemical terrorist incidents; disaster housing, i.e., sites, planning, training, and resources; and coordination between State emergency management agencies and the private sector.

States facing various geophysical risks, such as hurricanes, floods, and areas located near chemical stockpile disposal sites and nuclear power facilities assessed themselves as having a greater capability than other States. All of these scored higher than the national average for all States.

The results confirm that the special emphasis placed on mitigation and preparedness for these hazards by the Federal Government and the States has contributed to a remarkably higher level of readiness.

LOOKING TO THE FUTURE

FEMA has embraced several strategies, long and short term, to address the areas needing improvement, as well as to ensure continued development of areas identified as strengths. These strategies focus on (1) Performance Partnership Agreement (PPA) reviews with the States during Fiscal Year (FY) 1998; (2) emphasis on the State annual Cooperative Agreements; (3) improvement of individual Emergency Management Functions (EMFs) based on State requirements; (4) refinement of the CAR instrument and review process; and (5) participation in the development of an accredited process by State and local emergency management organizations that could be used nationally. These strategies reflect FEMA's vision to enrich the focus on protecting and preparing communities from becoming disaster victims.

I

INTRODUCTION



PART I

INTRODUCTION

PURPOSE

This report outlines the current status of emergency management capabilities in the Nation’s States, Territories, and Insular Areas (hereinafter referred to collectively as “States”). The report is based on results of a nationwide pilot test of the Capability Assessment for Readiness (CAR) process, which the Federal Emergency Management Agency (FEMA) and the National Emergency Management Association (NEMA) developed together.

THE CAPABILITY ASSESSMENT FOR READINESS PROCESS

Origin

CAR fulfills a commitment made by FEMA to the United States Senate Committee on Appropriations that the agency would develop a system of emergency management performance criteria and measures. Both FEMA and the United States Senate have been concerned that Federal disaster costs continue to rise and would like to ensure that States achieve greater operational readiness and capability to manage disasters, with less Federal assistance.

Description

The **CAR** process examines operational readiness and capabilities of the Federal/State emergency management partnership to mitigate against, prepare for, respond to, and recover from, emergencies and disasters. It focuses on the following 13 *Emergency Management Functions (EMFs)*, which are discussed further in Part IV of this report.

- | | |
|--|---|
| 1. <i>Laws and Authorities</i> | 8. <i>Operations and Procedures</i> |
| 2. <i>Hazard ID and Risk Assessment</i> | 9. <i>Logistics and Facilities</i> |
| 3. <i>Hazard Management</i> | 10. <i>Training</i> |
| 4. <i>Resource Management</i> | 11. <i>Exercises</i> |
| 5. <i>Planning</i> | 12. <i>Public Education and Information</i> |
| 6. <i>Direction, Control, and Coordination</i> | 13. <i>Finance and Administration</i> |
| 7. <i>Communications and Warning</i> | |

The CAR is a key component of FEMA's Strategic Plan, "Partnership for a Safer Future."

Utility

CAR is intended first and foremost to support FEMA and the States in development of (1) Performance Partnership Agreements (PPAs), in which FEMA and each State agree to 5-year strategic goals for the State's emergency management effort; and (2) annual Cooperative Agreements (CAs), in which FEMA and States agree on funding and work objectives to move the State toward achievement of goals described in its PPA. The CAR will allow FEMA and the States to determine aspects of emergency management that require greater attention.

CAR also will be used as a performance measure under FEMA's Strategic Plan, *Partnership for a Safer Future*. Results of the Fiscal Year (FY) 1997 pilot test will be used as a baseline for FEMA to gauge the effectiveness of its efforts with State partners, as part of the agency's overall compliance with the Government Performance and Results Act (GPRA) of 1993.

Finally, as **CAR** is refined, it will contribute ultimately to the development of nationally accepted action agendas for emergency management, complementing the National Fire Protection Association's (NFPA's) current *Recommended Practice for Disaster Management (NFPA 1600)*, as well as other professional fire and emergency accredited programs.

STRUCTURE OF THE REPORT

Part II—*Design and Methodology*—discusses considerations of CAR design and methodology.

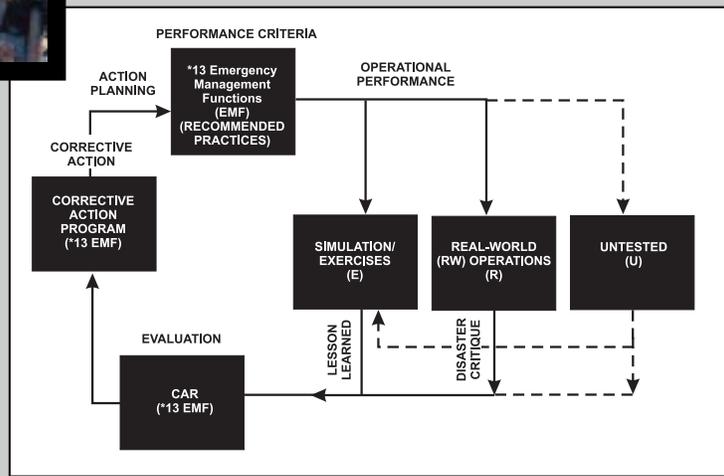
Part III—*National Summary*—provides a national summary of CAR reports.

Part IV—*Analysis by Emergency Management Function: Expanded Discussion of Findings and Conclusions*—presents national strengths, areas for improvement, and areas of basic capability for each EMF.

Part V—*Hazard-Specific Analyses*—compares results for States with certain prevalent hazards (e.g., States with a high or very high seismic hazard) to national aggregate results and to average scores for States not subject to the hazard.

Part VI—*Future Directions*—addresses improving emergency management, based upon the results of the CAR.

DESIGN AND METHODOLOGY



PART II

DESIGN AND METHODOLOGY

GENERAL

The Capability Assessment for Readiness (CAR) process depends on a State self-assessment, although States were encouraged to conduct the assessment in coordination with the appropriate Federal Emergency Management Agency (FEMA) Regional Office. Clearance was obtained from the Office of Management and Budget (OMB) for issuing the CAR assessment instrument nationwide (OMB Control Number 3067-0272). The complete *State Capability Assessment for Readiness* instrument is available from FEMA upon request. An automated version of the instrument was provided to reduce the burden on States, and all but one respondent used it. Gathering, tabulation, and analysis of data took place in June, July, and August of 1997. Each State forwarded its assessment to the FEMA Regional Office, which in turn forwarded it (along with any Regional analysis or interpretation) to FEMA Headquarters for incorporation into this report.

The information presented in this report is the collective input of the 56 States that participated in the Fiscal Year (FY) 1997 pilot test of CAR. Individual States are not singled out for analysis in this report based upon a prior agreement between FEMA and the National Emergency Management Association (NEMA) that individual States would not be compared with one another.

*... designed jointly by FEMA and
NEMA*

States will be provided copies of the collective analysis of the reports to see how they compare to other States in the aggregate; however, States will not be able to distinguish one State from another by name. States are free to share their individual self-assessments with each other. The complete *State Capability Assessment for Readiness* results—without State identifiers—are also available from FEMA, upon request.

LEVEL OF DETAIL

States conducted the self-assessment based upon 13 Emergency Management Functions (EMFs) listed previously. Each of these EMFs is subdivided into individual attributes and further subdivided into characteristics. Attributes are broad criteria by which the emergency management program's performance in a particular area can be assessed. Characteristics are more detailed criteria that further clarify the area being assessed. States assessed themselves at the attribute level as a minimum, but had the option to rate at the characteristic level, providing greater data points for subsequent analysis. As the State examined itself against these criteria, it gained a "self-profile" on the strengths and areas of its emergency management program that need improvement.

Federal Emergency Management Agency (FEMA) and the National Emergency Management Association (NEMA) have joined forces to develop a prototype readiness and capability assessment process. The result is the Capability Assessment for Readiness (CAR).

SCORING AND BASIS FOR DATA

Each attribute or characteristic was assessed on a scale of 1 to 3 or Not Applicable (N/A):

- 3 - Always or consistently meets attribute/characteristic
- 2 - Normally meets attribute/characteristic
- 1 - Needs additional work to meet the attribute/characteristic

N/A - Not applicable to the State's situation and emergency management organization/program

Flexibility was built into the program by allowing States the option to evaluate those activities that apply specifically to their emergency management program. States evaluated as "N/A" those attributes or characteristics that did not apply to their emergency management program.

To better understand on what basis States were making their responses, States also indicated whether the assessment of an attribute/characteristic was based on the following "Value Derived From" modifier:

- RW - Real-World Experience
- EE - Exercise Experience
- UT - Untested

This additional scoring helped provide validation and understanding of the 1 to 3 rating for each attribute/characteristic and helped highlight areas where exercises would be useful.

WEIGHTING OF SCORES

In the FY 1997 version of CAR, all attributes/characteristics were given equal weight. In reality, there are some attributes/characteristics that can be considered *Core Competency* performance indicators. These performance indicators need to be met by the total State infrastructure. They could be

Core Competencies . . .

considered "pass/fail" performance indicators for the emergency management program. Due to time constraints, *Core Competencies* were not addressed by the joint FEMA/NEMA working group in developing the pilot version of CAR.

CONSISTENCY OF SELF-ASSESSMENT

To foster consistency in CAR's implementation, FEMA conducted a live Emergency Education Network (EENET) satellite broadcast to assure uniform training between State and FEMA Regional staff and address questions concerning implementation of the process and the assessment instrument. States and Regional staff were provided all materials before the broadcast. In addition, meetings to discuss the CAR process and assessment were offered by FEMA Regional Offices to all States for training State staff and others participating in completion of the assessment. Some Regions formed CAR teams to assist States in the process and assessment. Most States had either face-to-face meetings with FEMA Regional representatives, or telephonic meetings to

discuss the survey and its completion before initiating work. FEMA Headquarters (HQ) also provided a telephone contact point and E-mail address for recommendations on the content or use of the automated CAR instrument.

Most States completed their CAR with on-site Regional involvement. This varied from Region to Region, based upon State preferences as to the best way to conduct the process and ongoing disaster response activities. NEMA suggested that in combination with the self-assessment by the States, a medium level of review would provide a more valid perspective on the emergency management partnership. A medium level of review was defined as the following steps: State conducts self-assessment; State/FEMA Region jointly review (face-to-face dialogue) and discuss the State assessment and/or conduct the self-assessment together to provide a more valid perspective on the status of the emergency management partnership; emergency management partners mutually develop actions that address areas needing improvement in the assessment and incorporate actions into the Performance Partnership Agreement/Cooperative Agreement (PPA/CA).

BASIS FOR ANALYSIS OF DATA

All respondents to the CAR assessment rated their State's emergency management attributes and characteristics on a scale of 1 to 3. Each attribute score was computed by finding the average score for all characteristics under that attribute. Attribute scores are reported in decimals (e.g., 2.32) because some characteristics were scored at a 2 level while others at a 1 or 3 level and when averaged, resulted in a decimal. Using this scale, FEMA analyzed the State CAR results as follows: a score of 2.5 to 3.0 meant that the State's emergency management organization met the attribute or characteristic consistently and is represented in blue on the graphical charts in this report as "Areas of Strength"; a score of 1.5 to 2.5 meant that the organization normally met

the attribute or characteristics reflecting a basic capability and is represented in green on the graphical charts in this report as "Areas Meeting Criteria"; and a score of 1.0 to 1.5 meant that the organization needed additional work to meet the attribute or characteristic and is represented in red on the graphical charts in this report as "Areas Needing Improvement." Also, a response of "Not Applicable" (N/A) was provided for those attributes or characteristics that did not apply to a particular State. This scale of 1 to 3 was developed and agreed to by FEMA and NEMA in close consultation. It was decided that it would be used in the pilot year and then reassessed based on the pilot year's experiences.

To better understand on what basis States were making responses, each attribute and characteristic had to be scored as to whether the State's response of 1, 2, or 3 was based on "Real-World Experience (RW), Exercise Experience (EE), or Untested (UT)." This scoring helped to provide validation and understanding of the 1 to 3 rating for each attribute or characteristic and highlight in what areas exercises would be useful.

Each attribute was analyzed by FEMA to determine national strengths, areas needing improvement, and areas of basic capability. Responses of N/A were discounted, and the percentage of the remaining responses at the 1 level (needs additional work to meet the criterion of attribute/characteristic), 2 level (normally meets attribute/characteristic) and 3 level (always or consistently meets attribute/characteristic) was computed. If 50 percent or more of these remaining responses were at the 2.5 to 3 level, the attribute was considered a national strength. If 50 percent or more were at the 1 to 1.5 level, the attribute was considered by FEMA as an area needing improvement.

Note that (1) the base number for computing percentages varied from attribute to attribute, depending on the number of States that responded N/A; and (2) percentage calculations of 45 percent to 49 percent were rounded up to 50 percent.

There was substantial support by the States and NEMA for establishment and conduct of the CAR process, as reflected in the 100-percent return rate of the CAR instrument. Support came from the realization that the CAR assessment process was critical to the growth of emergency management programs nationwide, both in the next year and in the years to come. NEMA has pledged its continued support and participation in the further development of this assessment process with FEMA.

This pilot year's report on States' capabilities in emergency management is based on a self-assessment of the State emergency management infrastructure. The assessment involved personal input from knowledgeable State-level emergency management professionals: representatives from individual State agencies comprising the State emergency management infrastructure providing diverse State perspectives; in some cases local officials; and FEMA Regional Offices.

The numerical analysis is carried out to two decimal places (e.g., an assessment value of 2.85). The analysis provided in this report should be interpreted as providing valuable information concerning the condition of States' emergency management as assessed by knowledgeable emergency management professionals in those States.

III

NATIONAL SUMMARY



PART III NATIONAL SUMMARY

GENERAL

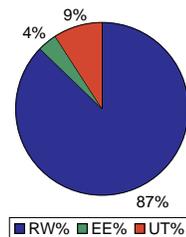
Under the guidance of the Federal Emergency Management Agency (FEMA) and the National Emergency Management Association (NEMA), the States, Territories, and Insular Areas (hereinafter referred to collectively as “States,”) participated fully in the implementation of the Capability Assessment for Readiness (CAR) program in the Fiscal Year (FY) 1997 pilot test. Fifty-six States conducted CAR self-assessments during June to August and submitted formal reports through their respective FEMA Regions to FEMA Headquarters. [States that participated are:](#)

Alabama	Florida	Massachusetts	North Dakota	Virginia
Alaska	Georgia	Michigan	Ohio	Virgin Islands
American Samoa	Guam	Minnesota	Oklahoma	Washington
Arizona	Hawaii	Mississippi	Oregon	West Virginia
Arkansas	Idaho	Missouri	Pennsylvania	Wisconsin
California	Illinois	Montana	Puerto Rico	Wyoming
Colorado	Indiana	Nebraska	Rhode Island	
Commonwealth of Northern Mariana Islands	Iowa	Nevada	South Carolina	
Connecticut	Kansas	New Hampshire	South Dakota	
Delaware	Kentucky	New Jersey	Tennessee	
District of Columbia	Louisiana	New Mexico	Texas	
	Maine	New York	Utah	
	Maryland	North Carolina	Vermont	

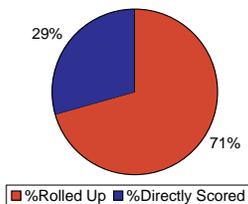
The CAR assessment submissions by the above States serve as the basis for this report. There is a solid foundation supporting the data submitted by the States, based on several reasons.

1. The information submitted by the States was based, for the most part, on their experiences gained from real-world disaster situations, as depicted at the right, rather than on exercise experience or untested State plans (other scoring options in the CAR instrument).
2. For the most part, the scores for the 209 emergency management attributes that each State reported on represent “rolled up” numerical averages of the ratings for the more than 1,014 characteristics in the CAR instrument that look at emergency management in great detail. As discussed in Part II,

SCORING BASIS FOR NATIONAL AGGREGATE



SCORES ROLLED-UP VS. SCORES SET FOR NATIONAL AGGREGATE



Design and Methodology, States had the option of either scoring directly at the attribute level, or of scoring the 1,014 characteristics and “rolling them up” to get average values for attribute scores. The latter method obviously gives a more valid picture, and is the preferred approach. The chart at left, depicting the comparison between “rolled up” attribute scores and “set directly” attribute scores, tells us that the States took a detailed look at the many components of readiness and capability, rather than just providing a macro-level subjective appraisal at the attribute level.

3. Of the 56 participating States, 55 States scored themselves at the Attribute and Characteristic level, and 1 State scored itself at the EMF level.
4. Many of the States involved their local jurisdictions to provide a grassroots perspective on the CAR self-assessment reporting. Further, most States were assisted by their respective FEMA Regions, during on-site visits, in conducting a joint analysis for the State self-assessment. These partnership approaches provide a “look up” as well as a “lookdown” perspective to the State and lend balance and external review to the State reports.

aims to encourage improvements in all the EMFs. In the shorter term, the following

National Priorities . . .

EMFs have emerged as national priority emphasis areas for improvements: *Hazard Identification and Risk Assessment* EMF, *Resource Management* EMF, and, *Logistics and Facilities* EMF. Rationale is as follows.

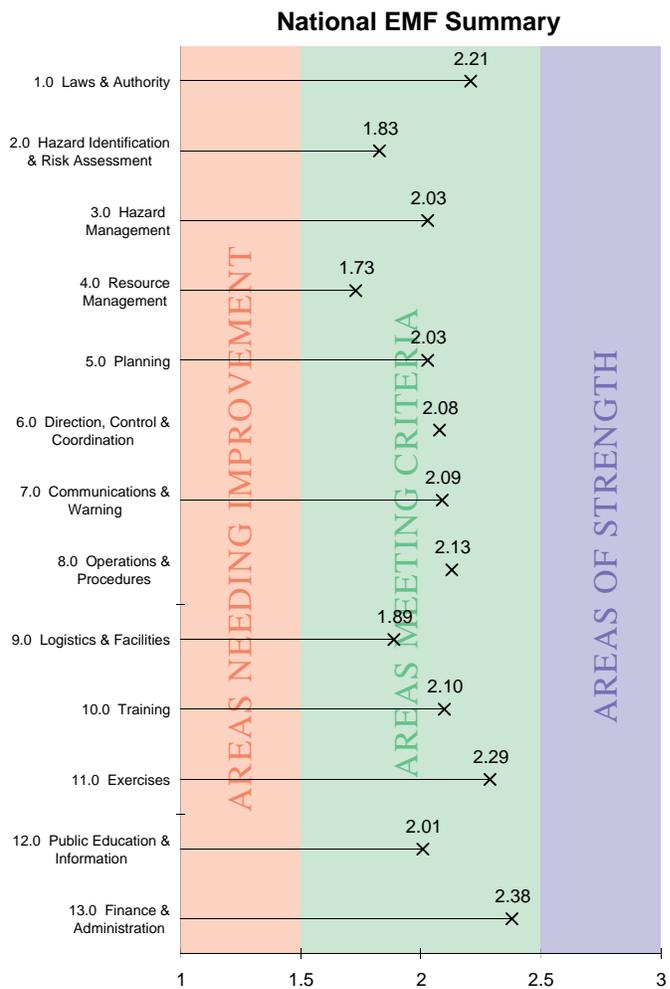
- The *Hazard Identification and Risk Assessment* EMF is the foundation for all other EMFs. An improved comprehensive threat/impact analysis for each State will identify specific mitigation opportunities, ranked in order of importance, plus provide details on preparedness opportunities, and response and recovery needs. Strategies for improvements in all the other EMFs could then be based on a

EMERGENCY MANAGEMENT FUNCTION ANALYSIS

Ratings for the 13 Emergency Management Functions (EMFs), as depicted in the chart at right, reflect that States meet the basic operational capability requirement. While some functional areas are stronger than others, and others require improvement, the States have reported they have the basic readiness and operational capability required.

While the national CAR results at right show that States meet the basic capability requirement, the results also indicate opportunities for improvement in all EMFs. Each State, based on its own indepth analysis of its CAR results, will have an opportunity through the Performance Partnership Agreement/Cooperative Agreement (PPA/CA) process to re-prioritize or re-allocate resources to enhance performance in its areas of interest.

As we see positive trends emerging from the initial tabulation and analysis of the CAR results, we also discern certain areas needing improvement. These areas of improvement are likely targets of interest in which to commit effort and resources. In the long term, the CAR program



solid risk assessment rather than on speculation. States will gain a better understanding of their current mitigation, preparedness, response capabilities, and of their future needs in order to direct, control, manage, and coordinate both mitigation programs and emergency operations. This will help States make optimal use of existing resources, and will be the basis for developing a meaningful comprehensive plan for both short- and long-term remediation.

- A future savings of lives, property, and the environment can be realized by working closely with the States to improve the *Resource Management* EMF, including donated goods and volunteer services, and the *Logistics and Facilities* EMF. A State that has the capability for a quick and comprehensive response to a disaster will maximize the saving of lives and property, and will minimize the need for Federal resources. Building a better capability within the States reduces the Federal response burden.

We intend to work closely with our State partners during FY 1998 to assist them in improving performance and capability in these and other areas.

- Protect life, property, and the environment, i.e., identify hazards and risks, and include disaster prevention and mitigation in the emergency management program (*Hazard Identification and Risk Assessment* EMF and *Hazard Management* EMF).
- Establish and maintain necessary plans, procedures, programs, and facilities necessary for a timely response based on hazard identification and risk assessment (*Resource Management* EMF, *Logistics and Facilities* EMF, *Training* EMF, and *Exercises* EMF).

Public Expectations . . .

- Monitor for and respond to emergencies and disasters (*Direction, Control, and Coordination* EMF; *Communications and Warning* EMF; and *Operations and Procedures* EMF) including quick and accurate assessment of the magnitude of an emergency; keeping citizens informed of the situation; evacuating dangerous areas; relocating citizens to a safe place; providing rapid restoration of services and infrastructure; and providing assistance in the form of recovery services.
- Alert and warn response organizations and general public of pending and spontaneous disaster events (*Communications and Warning* EMF).
- Provide public education and information to protect lives and minimize property loss (*Public Education and Information* EMF).
- Provide for financing of the emergency management program and properly administrate response and recovery efforts (*Finance and Administration* EMF).

CUSTOMER SERVICE AND PUBLIC EXPECTATIONS

The CAR data also provides insight into the quality of existing and future “customer service.” Disaster research and disaster case studies have identified certain “public expectations,” i.e., “what people generally expect from Government during emergencies and disasters.”

In general, the public expects Government to provide an effective emergency management program. Specifically, our customers (all potential future disaster victims) expect that Government will:

- Define the roles and responsibilities of elected officials (*Laws and Authorities* EMF).

We are satisfied that customer expectations are being met, with varying degrees of success, as discussed below.

In general, the public expects Government to provide an effective emergency management program.

NATIONAL EMERGENCY MANAGEMENT STRENGTHS

The States have reported strengths that show robust performance in several attribute areas that comprise individual EMFs. Depicted below are strengths based on attributes that stand out above the rest. These strengths, along with others also reported by the States, are discussed in detail in Part IV, *Analysis By Emergency Management Function: Expanded Discussion of Findings and Conclusions*. They are flagged here just to provide a general understanding of the national emergency management profile.

National Emergency Management Strengths

- Radiological Emergency Preparedness (REP) Program.
- Consistent participation in the National Earthquake Hazards Reduction, Hazard Mitigation Assistance, Flood Plain Management, and Dam Safety Programs.
- Development and maintenance of State emergency management plans complete with functional and hazard-specific annexes.
- State Military Support planning and the capability to activate personnel and equipment in an emergency.
- Individual and Family Grant and Public Assistance Programs.
- Chemical Stockpile Emergency Preparedness Program (CSEPP).
- The delivery of emergency management training courses, including a cadre of qualified instructors and delivery of training using a variety of methodologies.
- The completion by the States of a program of functional and full-scale exercises to test emergency plans and procedures.
- A demonstrated ability of the States to activate the Emergency Operations Center to coordinate operations in the event of a disaster or emergency.
- Strong grants/cooperative agreements, administrative pre-award policies, and accounting systems to track and document costs.
- Presidential Disaster Declaration process coordination when State resources are exceeded during an emergency/disaster.

"First and foremost, the assessment pointed out that the Nation's investment in our emergency management infrastructure has paid dividends."

--James L. Witt

NATIONAL EMERGENCY MANAGEMENT AREAS FOR IMPROVEMENT

The States have reported several areas of emergency management that require improvement in performance. Depicted below are areas of improvement that stand out among the rest. These areas, along with others reported by the States, are discussed in detail in Part IV, *Analysis By Emergency Management Function: Expanded Discussion of Findings and Conclusions*. They are flagged here just to provide a general understanding of the national emergency management profile. Strategies to address areas for improvement will be discussed in Part VI, *Future Directions*.

National Emergency Management Areas for Improvement

- Activities related to Nuclear, Biological, and Chemical Terrorism that require greater emphasis on planning and resources.
- Disaster housing program activities such as designation of sites, housing resources, training, and planning.
- Enhanced operational capabilities for donated goods and volunteer services, including inventories, donation teams in place, and coordination issues.
- Program planning for animal control in disasters, including: emergency veterinary services; public information; disease prevention; and animal disposal procedures.
- Improved private sector coordination between the State emergency management agencies and private sector groups on issues such as roles and responsibilities, mutual aid agreements, and regular meetings.
- Trust fund legislation to identify pre- and post-disaster resources.
- Community disaster education, i.e., public education and information on hazards awareness.
- Improved computer-based communications systems with shared mapping, such as Geographic Information Systems (GIS) and Information Management Systems.
- Logistics plans and procedures, involving the development of standard operating procedures, position descriptions, and checklists.
- Greater attention to the development of family emergency preparedness plans for emergency responders and Emergency Operating Center personnel.

ANALYSIS BY EMERGENCY MANAGEMENT FUNCTION: EXPANDED DISCUSSION OF FINDINGS AND CONCLUSIONS

IV



PART IV

ANALYSIS BY EMERGENCY MANAGEMENT FUNCTION: EXPANDED DISCUSSION OF FINDINGS AND CONCLUSIONS

This part of the report offers a definition of each Emergency Management Function (EMF). Strengths and weaknesses are highlighted and discussed at the attribute level. The attribute analysis is based upon 55 of 56 States that reported at the attribute and characteristic level.

NOTE: At the end of each EMF section is a series of charts that depict scoring for the EMF by attributes and by States.

EMF #1—LAWS AND AUTHORITIES

THE IMPORTANCE OF LAWS AND AUTHORITIES

When disasters threaten or strike a jurisdiction, people expect elected leaders to take immediate action to deal with the problem. The Government is expected to marshal its resources, channel the efforts of voluntary agencies and private enterprise in the community, and solicit assistance from outside of the jurisdiction if State and local resources are insufficient.

DEFINITION: Federal, State, and local statutes and any implementing regulations that establish legal authority for development and maintenance of the emergency management program and organization, and define the emergency powers, authorities, and responsibilities of the chief executive official and the emergency management coordinator.

In all States and localities, that popular expectation is given force by statute or ordinance. Congress also recognizes State and local emergency management responsibility in the Robert T. Stafford Disaster Relief and Emergency Assistance Act, as amended. The elected leadership in each State and locality is legally responsible for ensuring that necessary and appropriate actions are taken to protect people and property from the consequences of emergencies and disasters.

The National Average is 2.21, making it the third highest rated functional area.

Whatever the basis, it should be sufficient to support mitigation, preparedness, response, and recovery activities.

There must be authorities for the Governor to organize, select key staff, and operate the State emergency management organization. In addition, there may be a requirement for extraordinary powers that a Governor may need to invoke in order to meet the diverse challenges of any emergency. Each State has unique operational requirements, based upon

risks and hazard vulnerability, which should be supported by individual State emergency management authorities stemming from executive orders, reorganization plans, interagency agreements, and administrative requirements. The statutory basis for the emergency management program should include pre-delegation of emergency authorities, i.e., enabling measures sufficient to ensure that emergency-related legal authorities can be exercised by the elected or appointed leadership or their designated successor. There must be a significant degree of interface between Federal and State authorities before States can fully utilize resources of the Federal Government for emergency management.

Strengths By Attribute

Five of 12 attributes for Laws and Authorities are considered strengths nationally: Individual and Family Grant (IFG) Program Capability; IFG

Program State Cost Share; Public Assistance Program Capability; Function of Continuity of Government (COG) Established and Maintained as a State Emergency Plan Annex or Emergency Support Function (ESF); and State Supports the Satisfaction of the National Historic Preservation Act (NHPA) Requirements. Overall, it appears that most States have the basic laws and authorities to carry out day-to-day programs of emergency management and to respond effectively to disasters.

Attribute 1.6–IFG Program State Cost Share

Contingency plan to fund State cost share of 25 percent (Stafford Act, Section 411, (b) cost sharing).

32 States report that they always or consistently meet this attribute.

Attribute 1.7–Individual and Family Grant (IFG) Program Capability

This is defined by the following characteristics: readiness established for IFG Program administration (Stafford Act, Section 411, (e) Administration through Governor); program implementation; program administration; program closeout; and current State Administrative Plan (44 Code of Federal Regulations (CFR) 206.131), including price list for eligible categories, approved by the Federal Emergency Management Agency (FEMA).

37 States report that they always or consistently meet this attribute.

Attribute 1.8–Public Assistance Program Capability

This is defined by the following characteristics: Public Assistance Program established; program implementation; program administration; program closeout; and State serves as the grantee to administer the Public Assistance Program.

36 States report that they always or consistently meet this attribute.

39 States report that they always or consistently serve as the grantee to administer the Public Assistance Program.

37 States report that they have a Public Assistance Program.

When disasters threaten or strike a jurisdiction, people expect elected leaders to take immediate action to deal with the problem.

Attribute 1.9–Function of Continuity of Government (COG) established; maintained as a State Emergency Plan Annex or ESF

This is defined by the following characteristics: list of designated successors to heads of Departments or agencies; regular training developed for officials, heads of Departments/agencies, and successors; and COG authority defined.

32 States report that they always or consistently meet this attribute.

27 States report that they are clearly able to define COG.

Attribute 1.10–State Supports the Satisfaction of National Historic Preservation Act (NHPA) Requirements

This is defined by three characteristics that should be satisfied prior to a disaster: identifying a FEMA point of contact in the State Historic Preservation Office; providing a list of historic facilities and archeological sites listed or eligible for listing on the National Register of Historic Places or local lists; and reviewing and signing Model State Programmatic Agreements to facilitate Section 106 review under NHPA.

27 States report that they always or consistently meet this attribute.

35 States report having identified a point of contact for a Historic Preservation Office.

Areas For Improvement By Attribute

Two of 12 attributes need improvement:
Trust Fund Legislation

and Disaster Housing Resource Capability. The development of Trust Fund Legislation is an important initiative for FEMA and the States. It generates supplementary funding for emergency management through a series of surcharges on homeowners and business insurance policies or alternative funding mechanisms including lotteries, user fees, and private sources. This legislation provides for supplemental monies to focus on pre-disaster planning, mitigation projects, and response to and recovery from emergencies and disasters. Disaster Housing Resource Capability is weak in this function, as it is in other functional areas. It is a relatively new activity for the States to manage, and it is clear from the data that much remains to be accomplished.

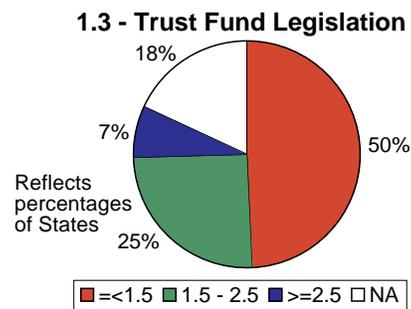
Attribute 1.3–Trust Fund Legislation

State identified resources for pre- and post-disaster mitigation; State created a mitigation trust fund; and Supplemental funding for State Emergency Management Program established.

27 States report that they need additional work in this area.

33 States report that they lack an adequate capability for a mitigation trust fund.

The national average for this attribute is 1.52. Forty-five (45) States indicated that this attribute was applicable to their State. Twenty-seven (27) indicated that this attribute needs improvement (<1.5). Fourteen (14) States indicated that they meet portions of the criteria (>1.5 and <2.5). Four (4) States indicated that the attribute always or consistently meets the criteria (>2.5). Ten (10) States did not consider this attribute as being applicable.

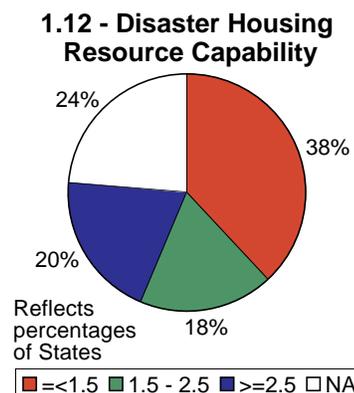


Attribute 1.12–Disaster Housing Resource Capability

Identification of authorities and lead agency to manage and coordinate State aspects of disaster housing resource mission.

21 States report that they need improvement in this area.

The national average for this attribute is 1.76. Forty-two (42) States indicated that this attribute was applicable to their State. Twenty-one (21) States indicated that this attribute needs improvement (<1.5). Ten (10) States indicated that they normally meet the basic criteria (>1.5 and <2.5). Eleven (11) States indicated that the attribute always or consistently meets the criteria (>2.5). Thirteen (13) States indicated that this attribute is not applicable to their State.



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 1.1–A Requirement Analysis for this function has been done and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all the emergency management aspects for the Laws and Authorities function.

Attribute 1.2–Legal Aspects of Analysis

This attribute examines the legal foundation on which the States' emergency management system is built as well as the scope to which the States have legislated and clarified their litigation risk.

Attribute 1.4–Building and Fire Codes

The State has provided technical assistance to local jurisdictions so that they may be able to create, update, and enforce building and fire codes to ensure the safety of the public.

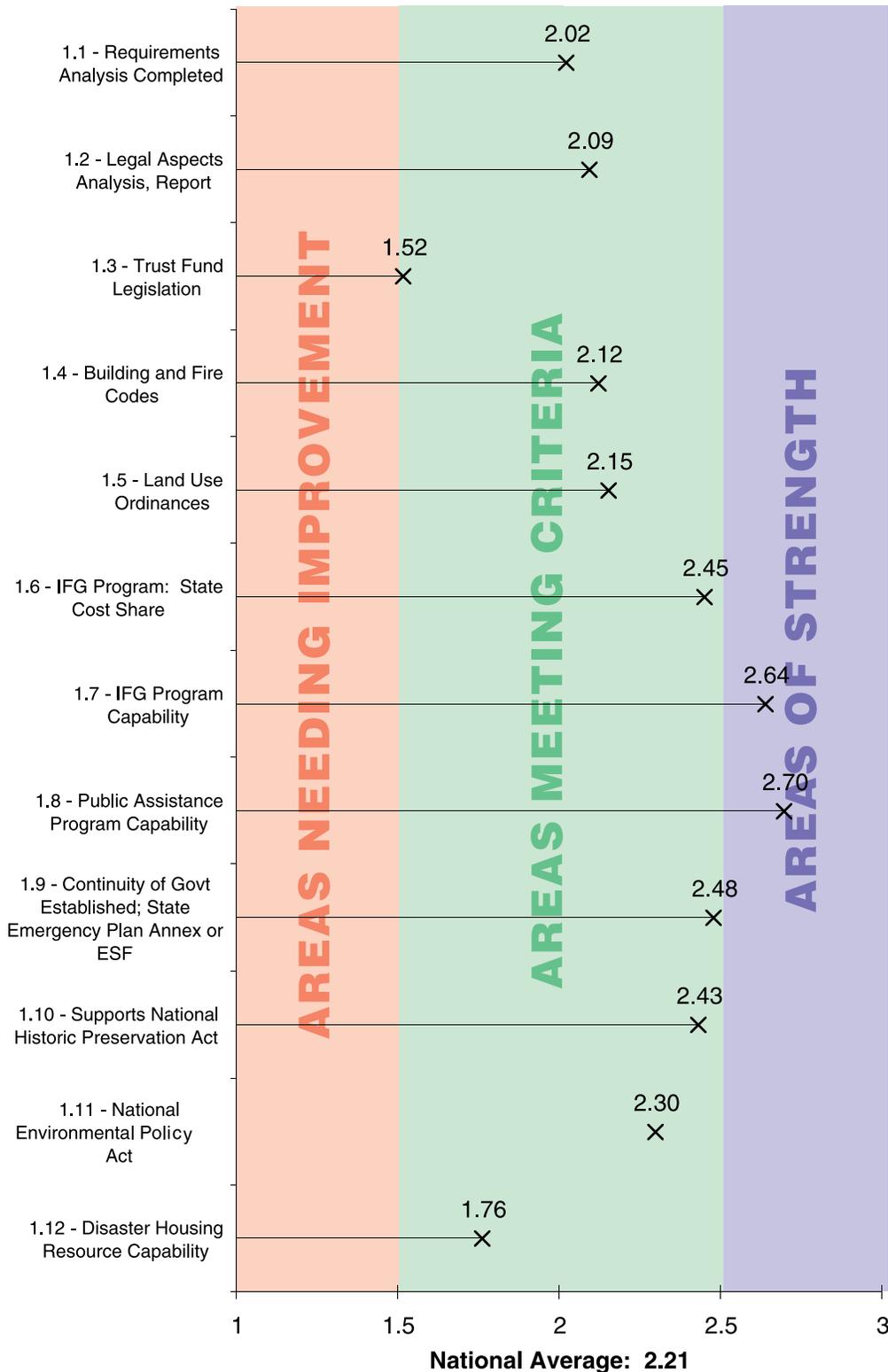
Attribute 1.5–Land Use Ordinances

The State has passed enabling legislation to allow local jurisdictions to adopt/enforce land use ordinances; discourage development in hazardous areas; encourage hazard avoidance; have an emergency permit process to facilitate immediate mitigation efforts.

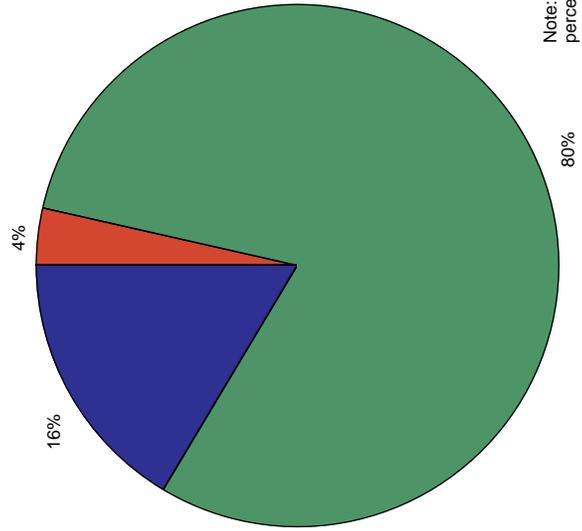
Attribute 1.11–National Environmental Policy Act

The State supports the National Environmental Policy Act (NEPA) through education, hazard identification, and data collection on a local and Statewide level.

**Laws and Authorities
Attribute Summary**

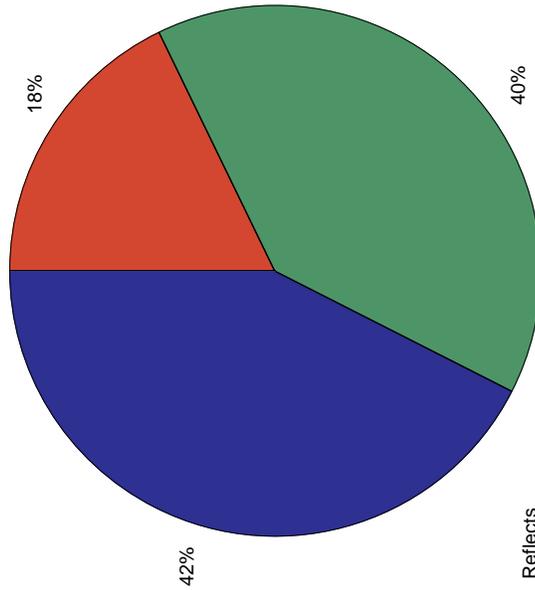


1.0 Laws & Authority
EMF Breakout By States

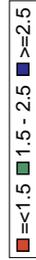


Note: Reflects percentages of States.
National Average: 2.21

1.0 Laws & Authority
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.21



EMF #2–HAZARD IDENTIFICATION AND RISK ASSESSMENT

THE IMPORTANCE OF HAZARD IDENTIFICATION AND RISK ASSESSMENT

DEFINITION: The process of identifying situations or conditions that have the potential of causing injury to people, damage to property, or damage to the environment and the assessment of the likelihood, vulnerability, and magnitude of incidents that could result from exposure to hazards.

Successful completion of the hazard identification and risk assessment processes lay the foundation for successful emergency management and building disaster resistant communities. Research into identification of the actual hazards and risks a State faces and the likelihood that these hazards will occur is required before adequate and cost-effective plans and procedures can be developed for mitigation, preparedness, response, and recovery efforts. By creating and applying scenarios to specific hazards in areas of risk, as well as using historical analysis, a complete Hazard Vulnerability Assessment (HVA) can be developed to include types of hazards, predictability, cause, speed of onset, duration, and destructive potential. This assessment provides a solid framework upon which to build mitigation priorities at the State and local level.

This EMF is the central foundation for all other EMFs. The Hazard Vulnerability Assessment (HVA) has emerged as an area of national focus.

The National Average is 1.83, indicating that this EMF is currently at the acceptable level within the CAR's three-level assessment system ("normally meets the respective *attribute/characteristic*"). This EMF is the key to sound emergency management mitigation, preparedness, and response.

Strengths By Attribute

There were no indicated strengths by attribute.

Areas For Improvement By Attribute

No particular areas for improvement are indicated by the selection criteria for this EMF.

Hazard Vulnerability Assessment is the central foundation
for all other EMFs.

Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

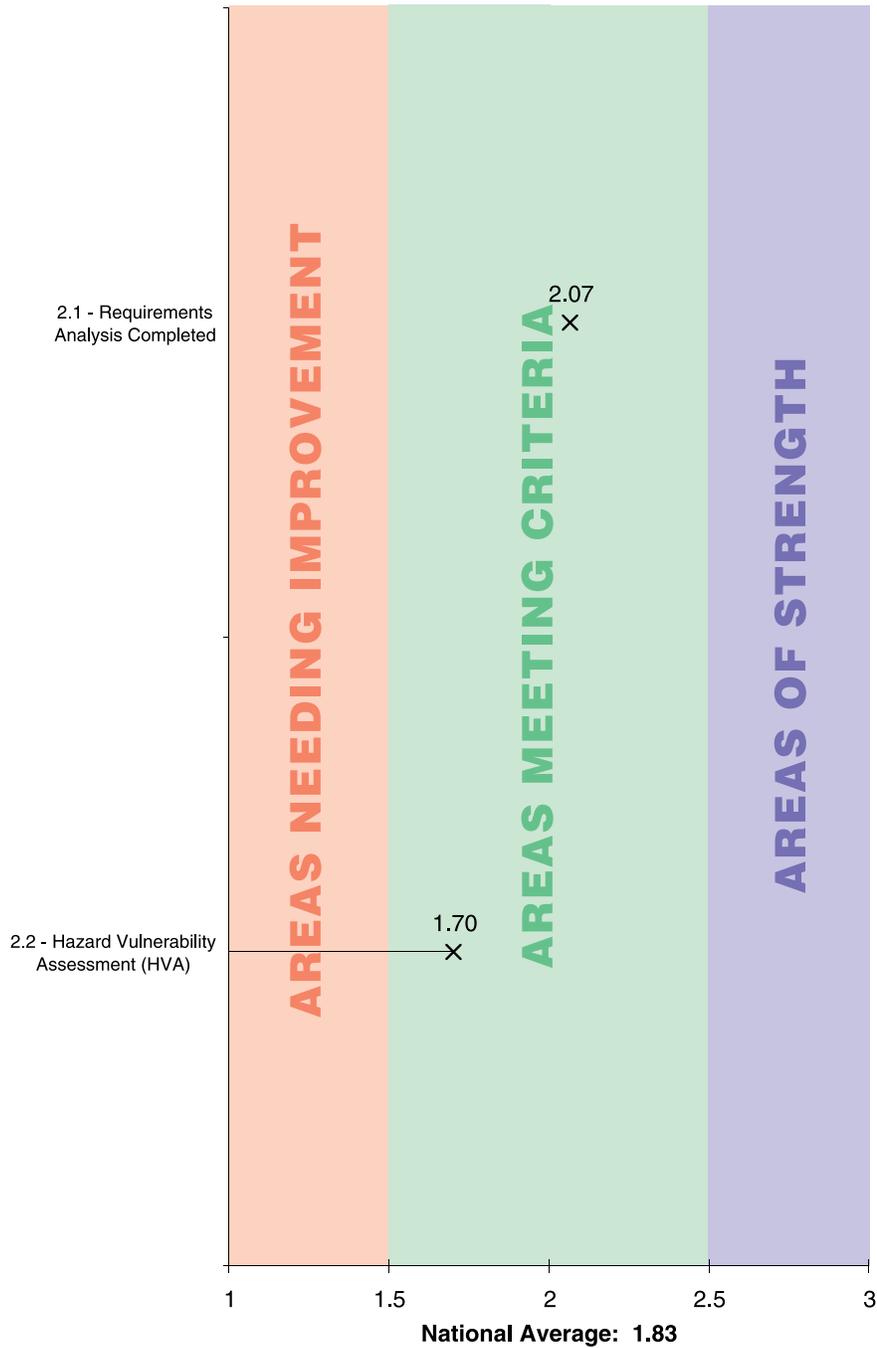
Attribute 2.1–A Requirements Analysis for this function has been done and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all the emergency management aspects for the Hazard Identification and Risk Assessment function.

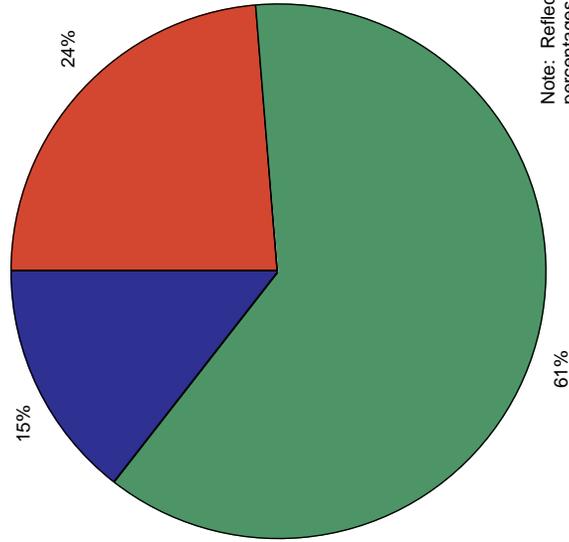
Attribute 2.2–Hazard Vulnerability Assessment (HVA)

The State has completed a Statewide hazard identification to include: State's hazard history; fully developed risk management strategy; update and publication cycle; inventory of special needs groups; hazard descriptions; mapping of hazard areas and environmentally and archeologically sensitive areas; and HVA distribution.

Hazard Identification & Risk Assessment Attribute Summary

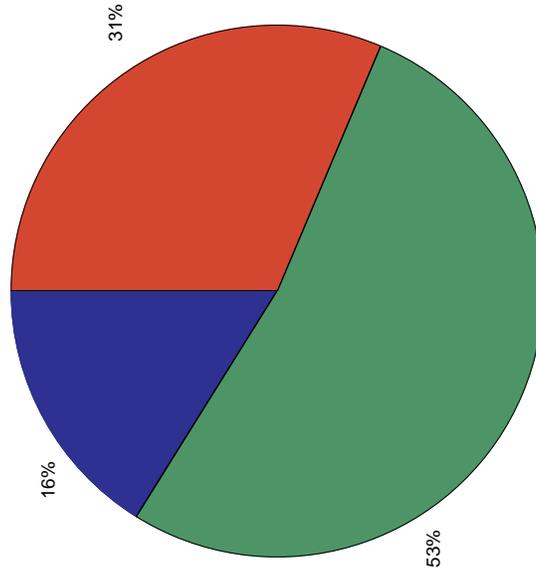


2.0 Hazard Identification & Risk Assessment
EMF Breakout By States

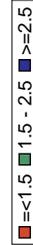


Note: Reflects percentages of States.
National Average: 1.83

2.0 Hazard Identification & Risk Assessment
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 1.83



EMF #3–HAZARD MANAGEMENT

THE IMPORTANCE OF HAZARD MANAGEMENT

Once hazards have been identified and risks assessed, eliminating these hazards where possible, or reducing their effects, is the next step in effective and cost-efficient emergency management. The intent of hazard management is to target resources and prioritize mitigation activities to ensure that fewer citizens, communities, businesses, and industries are impacted by these hazards, or if impacted, are to a lesser extent. In addition, money spent on mitigation will significantly reduce the funds required for response and recovery when disaster strikes.

Definition: Systematic management approach to eliminate hazards that constitute a significant threat to the jurisdiction or to reduce the effects of hazards that cannot be eliminated through a program of hazard mitigation.

The National Average
is 2.03.

Strengths By Attribute

States utilize FEMA funded programs in their hazard management programs. Specific programs oriented towards specific hazards or technical assistance are easily applicable and attractive to the majority of States having those hazards. In particular, States reported that they consistently utilize the National Earthquake Hazards Reduction Program, National Hurricane Program, Mitigation Assistance Program, Flood Plain Management Program, Dam Safety Program, and Technical Assistance Contracts.

Attribute 3.2–Mitigation Grants/Programs

This attribute asked about participation in the following FEMA funded programs: National Earthquake Hazards Reduction Program; National Hurricane Program; Mitigation Assistance Program; Flood Plain Management Program; Dam Safety Program; and Technical Assistance Contracts.

34 States report that they consistently use one or more of the mitigation grants and programs listed.

22 States consistently participate in the National Earthquake Hazards Reduction Program.

32 States consistently participate in the Mitigation Assistance Program.

29 States consistently participate in the Flood Plain Management Program.

24 States consistently participate in the Dam Safety Program.

Hazard Management is a National area for improvement.

Areas For Improvement By Attribute

Specific program weaknesses are indicated by States responding to

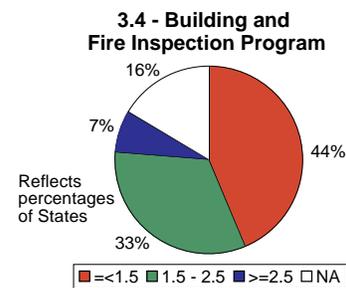
this attribute. Particularly needing additional work are programs in post-disaster building and fire inspection and State insurance on public facilities and equipment. Also, additional coordination is needed between the State’s Hazard Mitigation Plan and its Emergency Operations Plan (EOP) in the post-disaster restoration of electrical transmission and distribution systems in remote areas.

Attribute 3.4–Building and Fire Inspection Program

This attribute refers to developing and maintaining plans for a building and fire inspection program related to response and recovery after a disaster. It includes having a plan for handling the surge in building permit requests after a disaster, a plan for post-disaster inspections of structures, developing a process for tagging damaged structures once inspected, and for developing an enforcement program.

24 States report that they need additional work to develop and/or maintain building and fire inspection programs related to response and recovery after a disaster.

The national average for this attribute is 1.63. Forty-six (46) States indicated that this attribute was applicable to their State. Four (4) States indicated that the attribute always or consistently met the criteria (>2.5). Eighteen (18) States normally meet the criteria (>1.5 and <2.5). Twenty-four (24) States indicated that additional work is needed on this attribute (<1.5). Nine (9) States indicated that this attribute was not applicable to their State.

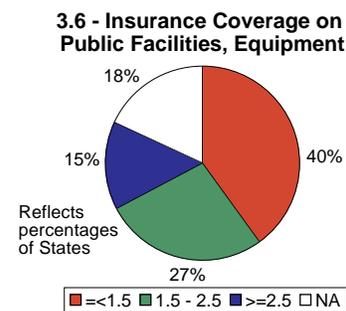


Attribute 3.6–Status of Insurance Coverage on Public Facilities and Equipment

This attribute refers to having identified specific coverages and exclusions, as well as deductible limitations on public facilities and equipment.

22 States report that they needed additional work to know the status of insurance coverage on their public facilities and equipment.

The national average for this attribute is 1.70. Forty-five (45) States indicated that this attribute was applicable to their State. Eight (8) States indicated that the attribute always or consistently met the criteria (>2.5). Fifteen (15) States normally meet the criteria (>1.5 and <2.5). Twenty-two (22) States indicated that additional work is needed on this attribute (<1.5). Ten (10) States indicated that this attribute was not applicable to their State.



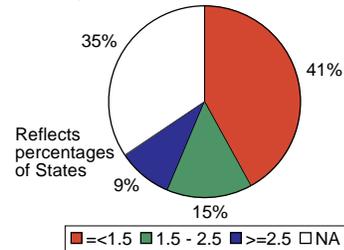
Attribute 3.8–The State Hazard Mitigation Plan is coordinated with the State Emergency Plan to Consider All Alternatives for Permanent Restoration of Electrical Transmission and Distribution Systems in Remote Areas

This attribute refers to the coordination of the State's Hazard Mitigation Plan with the State's Emergency Operations Plan concerning alternatives for permanent restoration of electrical transmission and distributions systems in remote areas.

23 States report that they need additional work in coordinating their Hazard Mitigation Plan with their Emergency Operations Plan concerning restoration of electrical transmission and distribution systems in remote areas.

The national average for this attribute is 1.50. Thirty-six (36) States indicated that this attribute was applicable to their State. Five (5) States indicated that the attribute always or consistently met the criteria (>2.5). Eight (8) States normally meet the criteria (>1.5 and <2.5). Twenty-three (23) States indicated that additional work is needed on this attribute (<1.5). Nineteen (19) States indicated that this attribute was not applicable to their State.

3.8 - Coordination Regarding Electrical Systems in Remote Areas



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 3.1–A Requirements Analysis for this function has been done and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all the emergency management aspects for the Hazard Management function.

Attribute 3.3–Mitigation Concepts

The State has identified, coordinated, and monitored the resources and policies that are beneficial to their mitigation effort, including: executive and legislative support; cooperation among State agencies; building and awareness of mitigation opportunities and techniques; involving the private sector and other jurisdictions; developing wild land fire mitigation strategies; and utilizing Federal resources.

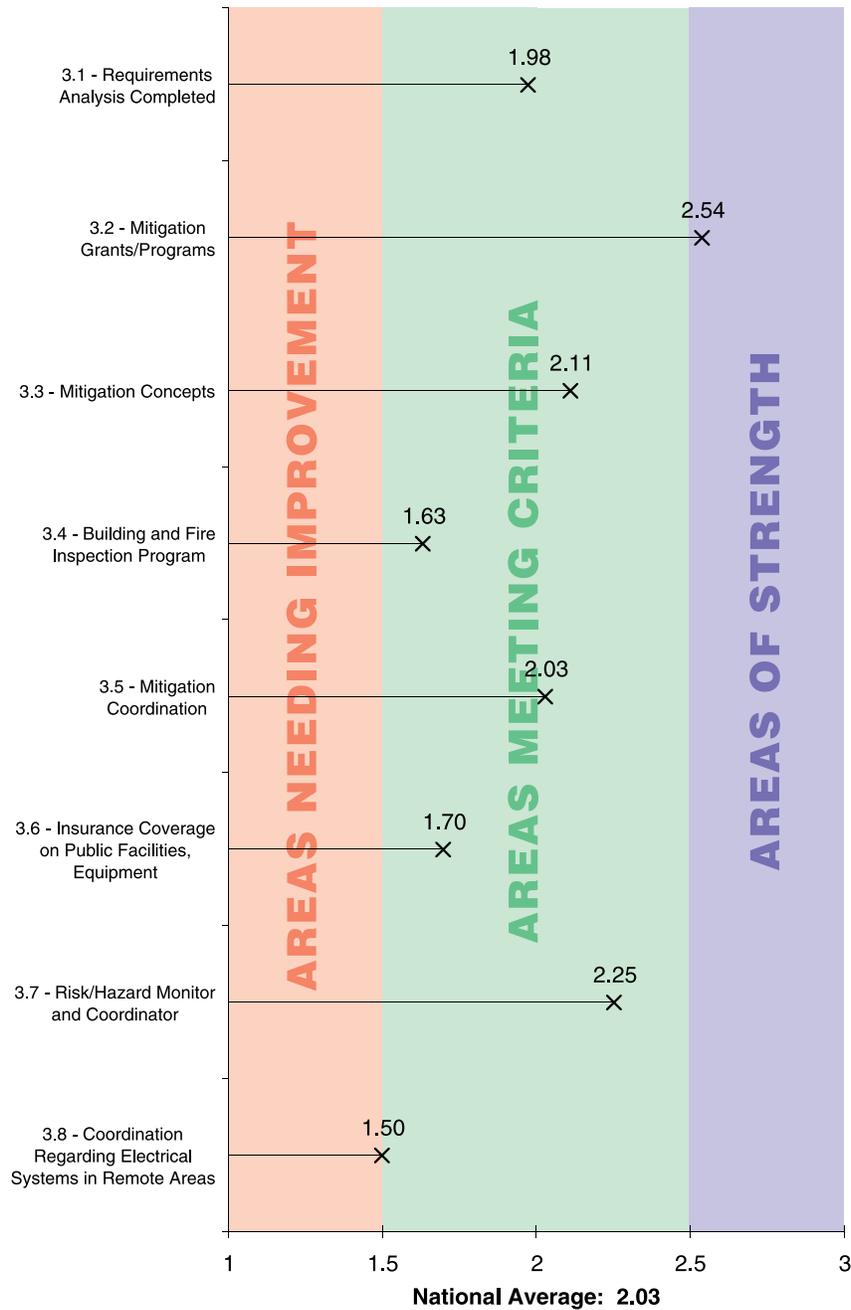
Attribute 3.5–Mitigation Coordination

The State has in place the necessary committees and advisory councils, e.g., SERC, LEPC, and working groups to aid the mitigation effort.

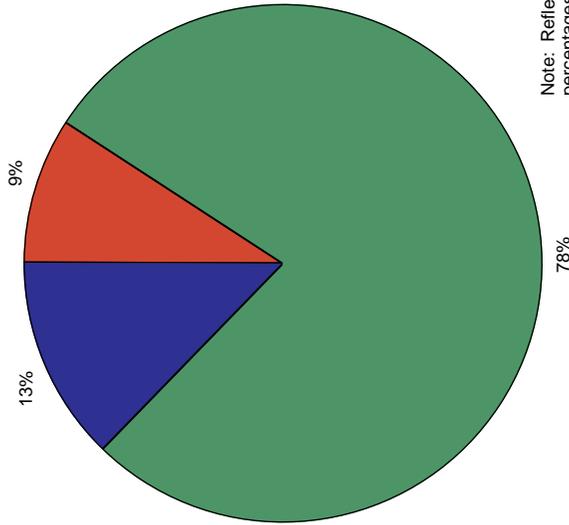
Attribute 3.7–Identification of Lead Agency as Risk/Hazard Monitor and Coordinator

The State has established a lead agency that has been assigned the duties of monitoring for hazards and risks and serves to motivate, coordinate, and monitor mitigation efforts.

**Hazard Management
Attribute Summary**

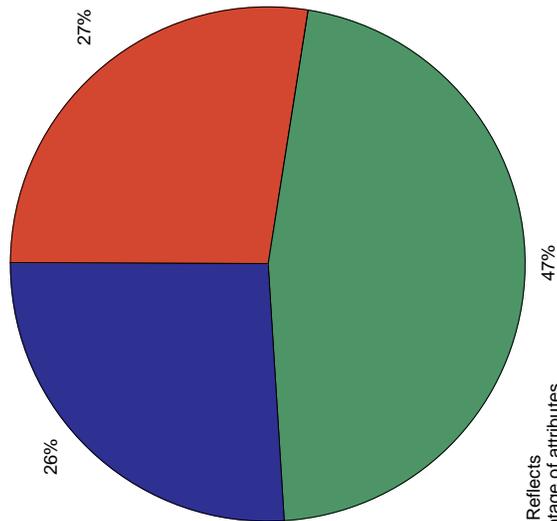


3.0 Hazard Management
EMF Breakout By States

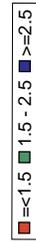


Note: Reflects percentages of States.
National Average: 2.03

3.0 Hazard Management
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.03



EMF #4–RESOURCE MANAGEMENT

THE IMPORTANCE OF RESOURCE MANAGEMENT

Emergency response agencies and organizations manage personnel, facilities, and supplies and equipment to accomplish their assignments. However, disasters often require more specialized resources than the responding agencies have available.

Definition: Systematic development of methodologies for the prompt and effective identification, acquisition, distribution, accounting, and use of personnel and major items of equipment for essential emergency functions.

Resource Management is a process that ranges from determining needs to finding and staging resources to meet these needs. Resource Management planning involves a process to find, obtain, allocate, and distribute resources to satisfy the needs that are generated by an emergency.

Resource management has emerged as one of several national priority areas for improvement.

The National Average is 1.73, which makes it the lowest rated functional area.

Strengths By Attribute

Individual and Family Grant (IFG) Program Resources is the only attribute in this functional area to be rated at the top level, i.e., “Always/

Consistently Meets.” States must comply with Federal regulations to receive FEMA IFG funds. Most States report an adequate capability for Resource Identification.

Attribute 4.8–Individual and Family Grant (IFG) Program Resources

This attribute involves personnel and administrative aspects of the IFG Program, such as identifying a program manager and ensuring the program has adequate computers, office equipment, and staffing/hiring procedures.

30 States have a capability that always or consistently meets this attribute.

39 States have identified a Grant Coordinating Officer and State IFG Program Manager.

Areas For Improvement By Attribute

Equipment for Nuclear, Biological, and

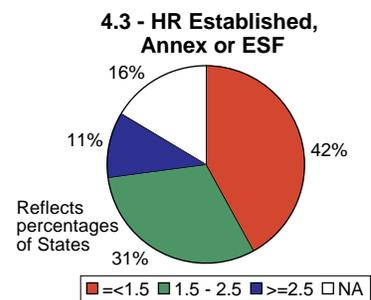
Chemical (NBC) Terrorism was the lowest rated attribute in this lowest rated functional area. Other attributes with low scores are Human Resource Planning, Development of Mutual Aid Compacts, and Donated Goods and Volunteer Services.

Attribute 4.3–Human Resources Established, Maintained as a State Emergency Plan Annex or ESF

This attribute includes designating a coordinator for Human Resources, developing standard operating procedures, developing a training program, and establishing agreements between State and local governments.

23 States report needing additional work on a Human Resources Emergency Plan annex.

The national average for this attribute is 1.71. Forty-six (46) States indicated that this attribute was applicable to their State. Six (6) States indicated that the attribute always or consistently met the criteria (>2.5). Seventeen (17) States normally meet the criteria (>1.5 and <2.5). Twenty-three (23) States indicated that additional work is needed on this attribute (<1.5). Nine (9) States indicated that this attribute was not applicable to their State.



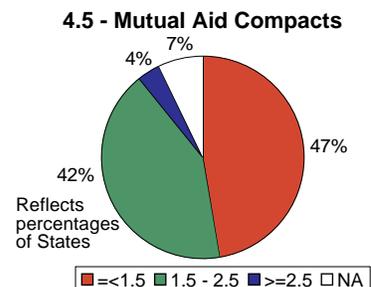
Attribute 4.5–Mutual Aid Compacts

Mutual Aid Compacts are agreements involving the following written agreements for use of private sector resources: agreements with neighboring jurisdictions; intrastate agreements (e.g., fire, public works, transportation, mental health); and agreements for disaster housing resources.

26 States need additional work to develop or improve their Mutual Aid Compact agreements with the private sector or neighboring jurisdictions.

31 States lack adequate written agreements for use of private sector resources.

27 States report having only minimal capability for intrastate disaster housing resources, i.e., coordinators identified, staffing and hiring procedures, and various types of equipment.



The national average for this attribute is 1.60. Fifty-one (51) States indicated that this attribute was applicable to their State. Two (2) States indicated that the attribute always or consistently met the criteria (>2.5). Twenty-three (23) States normally meet the criteria (>1.5 and <2.5). Twenty-six (26) States indicated that additional work is needed on this attribute (<1.5). Four (4) States indicated that this attribute was not applicable to their State.

Disasters often require more specialized resources than responding agencies have available.

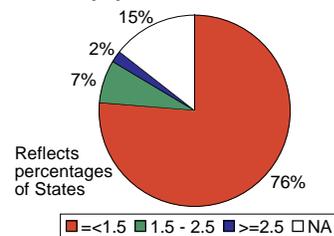
Attribute 4.6–Equipment for Nuclear, Biological, and Chemical (NBC) Terrorism

This attribute involves the development of hazardous material (HAZMAT) teams with specialized equipment to respond to an NBC incident. It also includes treatment pharmaceuticals positioned at hospitals and treatment facilities in sufficient quantities to treat mass casualties.

42 States report significant capability shortfalls for this attribute and its characteristics.

The national average for this attribute is 1.14. Forty-seven (47) States indicated that this attribute was applicable to their State. One (1) State indicated that the attribute always or consistently met the criteria (>2.5). Four (4) States normally meet the criteria (>1.5 and <2.5). Forty-two (42) States indicated that additional work is needed on this attribute (<1.5). Eight (8) States indicated that this attribute was not applicable to their State.

4.6 - Equipment for NBC Terrorism



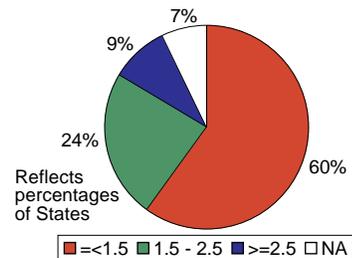
Attribute 4.7–Donated Goods and Volunteer Services

This attribute involves volunteer personnel registered and trained to manage donated goods, plans to utilize untrained volunteers, and a clear understanding of the kinds of donations needed.

33 States report inadequate capability to manage Donated Goods and Volunteer Services.

The national average for this attribute is 1.50. Fifty-one (51) States indicated that this attribute was applicable to their State. Five (5) States indicated that the attribute always or consistently met the criteria (>2.5). Thirteen (13) States normally meet the criteria (>1.5 and <2.5). Thirty-three (33) States indicated that additional work is needed on this attribute (<1.5). Four (4) States indicated that this attribute was not applicable to their State.

4.7 - Donated Goods and Volunteer Services



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 4.1–A Requirements Analysis has been completed for this EM function and is the basis for the assessment

This involves the State completing a comprehensive analysis of all of the emergency management aspects for the Resource Management function.

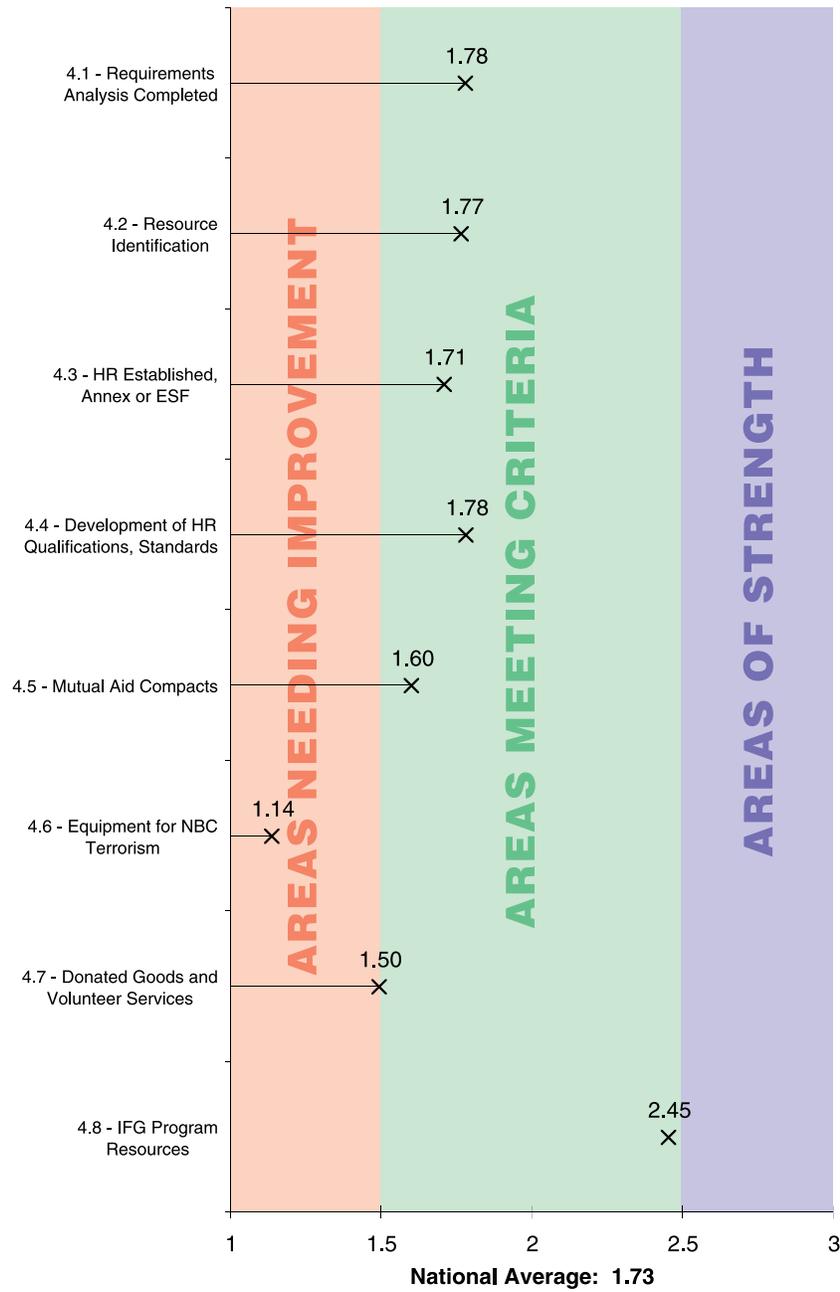
Attribute 4.2–Resource Identification

Resource Identification consists of the identification of: State and local government personnel and equipment; resources of volunteer agencies; a knowledge of Federal response capabilities; establishing baseline cost estimates; and a schedule for updating resource lists.

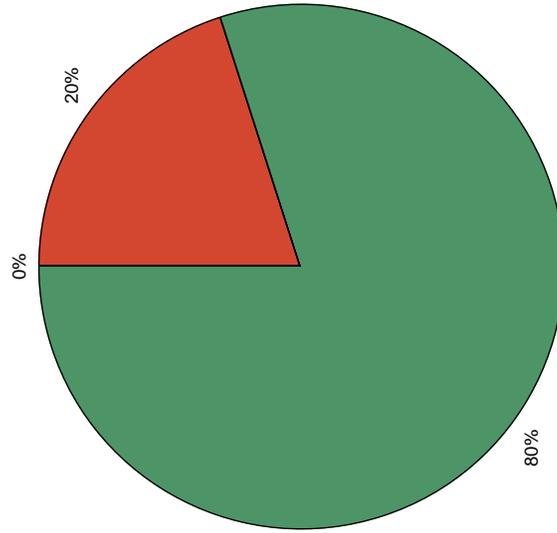
Attribute 4.4–Development of Human Resource Qualifications, Standards

This attribute comprises the training, experience, certification, authorities, and abilities of individuals involved in Resource Management.

**Resource Management
Attribute Summary**

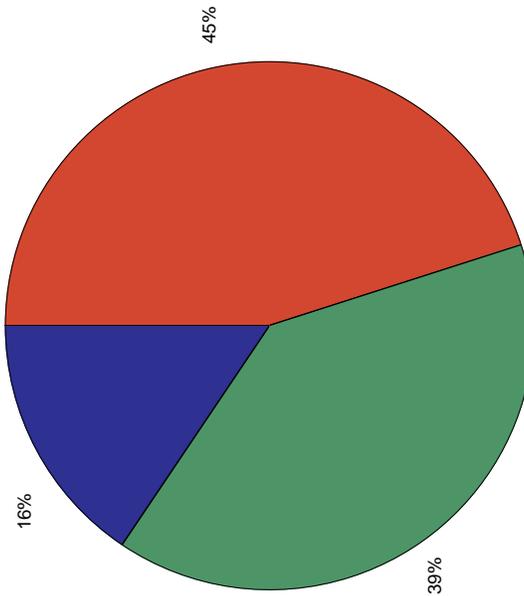


4.0 Resource Management
EMF Breakout By States

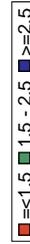


Note: Reflects percentages of States.
National Average: 1.73

4.0 Resource Management
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 1.73



EMF #5–PLANNING

THE IMPORTANCE OF PLANNING

Definition: The collection, analysis, and use of information, and also the development, promulgation, and maintenance of the organization’s comprehensive emergency management plan, action plans, and mitigation plans.

Conducting coordinated operations in an emergency is basically executing EOPs. The payoff in lives saved and property preserved results from emergency forces doing the right thing at the right time. Experience in emergencies and disasters has shown repeatedly that when emergency plans and procedures are known, exercised, and used by response forces, reaction times are reduced, coordination is improved, and the overall response and recovery measures are more

effective. However, EOPs are only one segment of the planning effort. Another key component of planning is the development of a Mitigation Plan. This involves developing cost-effective strategies and identifying specific opportunities to reduce risks posed by identified hazards.

The National Average is 2.03. Planning ranks in the middle of the 13 EMFs.

Strengths By Attribute

Developing comprehensive emergency management plans is crucial to an effective all-hazards and risk-based program. This section looks at criteria for mitigation plans, EOPs, and an array of administrative plans tied to various programs. Most of the States have had long experience in the development of these plans, and update them regularly by folding in the results of exercise critiques and After-Action Reports (AARs) following major disasters. It is not surprising that virtually all States report at least a basic capability in the planning function and its 38 attributes. Attributes with the highest scores are development of the State plan, Alerting and Notification annex, Communications annex, Law Enforcement annex, and Military Support planning, which received the highest rating (2.63) in this functional area. Close working relationships exist between the States and military installations located within their borders.

Attribute 5.3–State Emergency Plan

This attribute involves the development and maintenance of an all-hazard plan including: a prescribed format for the State plan; functional annexes; hazard specific annexes (as appropriate); a maintenance program to update the plan and annexes; and promulgation by the chief executive.

29 States indicate that they always or consistently meet this attribute.

Attribute 5.4–Function of Law Enforcement Established, Maintained as a State Emergency Plan Annex or ESF

The law enforcement section of the State plan typically identifies: a law enforcement coordinator; the need for a task force; inventory of law enforcement supplies and equipment; security procedures and Emergency Operations Center (EOC) duties established.

24 States always or consistently meet the criteria for this attribute.

Attribute 5.20–Function of Military Support Established, Maintained as a State Emergency Plan Annex or ESF

The Military Support attribute includes: the designation of a coordinator; identification of military resources to support State and local emergency operations; description procedures to activate plans; development of Standard Operating Procedures (SOPs) and checklists; and designation procedures for activation of the National Guard.

39 States were assessed at 2.5 or higher, which means they always or consistently meet this attribute.

40 States report having designated a Military Support Coordinator.

31 States assessed themselves high for describing the scope of military support responsibilities and describing procedures for activation of military support plans.

39 States rate themselves high for development of procedures to activate the National Guard.

Attribute 5.21–Chemical Stockpile Emergency Preparedness Program (CSEPP)

This attribute involves the development and maintenance of preparedness plans for incident response in those jurisdictions located near chemical stockpile disposal sites.

7 of the 10 States at risk to this hazard always or consistently meet the capabilities required by this attribute.

Attribute 5.23–Function of Alerting and Notification Established, Maintained as a State Emergency Plan Annex or ESF

This function includes: developing an Alerting and Notification System; describing methods used to notify key Governmental officials and emergency response personnel; and developing SOPs.

28 States indicate a high capability in planning for alerting and notification of officials.

Developing comprehensive emergency management plans are crucial to an effective all-hazards and risk-based program.

Attribute 5.26–Function of Communications Systems Established, Maintained as a State Emergency Plan Annex or ESF

This attribute involves: designating a communications coordinator; developing an inventory of communications capabilities; describing EOC and field service communications capabilities; and creating a test and maintenance schedule to assure the communications capabilities will effectively operate in a disaster occurrence.

24 States report they always or consistently meet this attribute.

Attribute 5.30–Function of Response and Recovery Operations Reports Established, Maintained as a State Emergency Plan Annex or ESF

Reporting on the status of emergency operations is an important element in a disaster event. This attribute involves the development of a reporting system for local response agencies, a format for reporting damages, a pre-scripted local proclamation of an emergency, and a draft request for assistance.

28 States report having consistently good planning for response and recovery operations reports.

Attribute 5.32–Program Implementation for Individual & Family Grant, Public Assistance, and Hazard Mitigation Grant Programs

Program implementation for these programs includes: approval by FEMA of the current State Administrative Plan; program SOPs; closeout procedures; and a current personnel activation plan.

28 States indicate a strong capability to implement the IFG, Performance Partnership Agreement (PPA), and Hazard Mitigation Grant Program (HMGP).

Areas For Improvement By Attribute

There are only a comparatively few low-rated planning areas out of the 38 attributes in this

functional area. At least three of the five listed below are areas that have not received a lot of attention in recent years. NBC terrorism has been widely perceived as a serious threat only recently, after the Oklahoma City and New York World Trade Center bombings in this country, and the sarin gas attack in Tokyo. The need for greater attention to emergency plans for animal control emerged from the widespread flooding in Midwestern farming States in 1993. Responsibility for disaster housing resources is currently shifting from the Federal Government to the States. Many States have not yet begun to develop plans to manage this important element, and a significant number of States, possibly because of their unique situation (e.g., Western States with small and widely dispersed populations), feel they do not need to make this program a high priority.

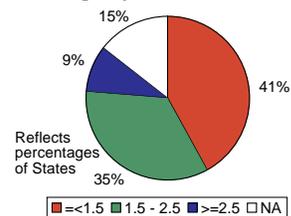
Attribute 5.7–Function of Resource Management Established, Maintained as a State Emergency Plan Annex or ESF

This attribute involves planning for resource management issues such as designation of a Resource Coordinator, inventory of resources, operational controls, notification and activation procedures, and establishment of an industry resource council.

23 States indicated that much more work is needed to meet this attribute.

The national average for this attribute is 1.65. Forty-seven (47) States indicated that this attribute was applicable to their State. Five (5) States indicated that the attribute always or consistently met the criteria (>2.5). Nineteen (19) States normally meet the criteria (>1.5 and <2.5). Twenty-three (23) States indicated that additional work is needed on this attribute (<1.5). Eight (8) States indicated that this attribute was not applicable to their State.

5.7 - Function of Resource Management Established, Maintained as a State Emergency Plan Annex or ESF



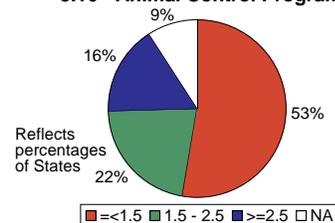
Attribute 5.16–Animal Control Program

An Animal Control Program consists of emergency veterinary services and animal disposal procedures.

29 States indicate a serious capability shortfall for animal control programs.

The national average for this attribute is 1.63. Fifty (50) States indicated that this attribute was applicable to their State. Nine (9) States indicated that the attribute always or consistently met the criteria (>2.5). Twenty (12) States normally meet the criteria (>1.5 and <2.5). Twenty-nine (29) States indicated that additional work is needed on this attribute (<1.5). Five (5) States indicated that this attribute was not applicable to their State.

5.16 - Animal Control Program

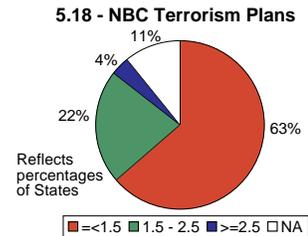


Attribute 5.18–Nuclear, Biological, and Chemical (NBC) Terrorism Plans

NBC Terrorism Plans emphasize: terrorist incident response; coordination among Federal and Regional hazardous materials and emergency medical services agencies to identify response support; and coordination with hospitals and treatment facilities to establish medical treatment protocols and procedures.

35 States rate themselves at the lowest level for this attribute.

The national average for this attribute is 1.34. Forty-nine (49) States indicated that this attribute was applicable to their State. Two (2) States indicated that the attribute always or consistently met the criteria (>2.5). Twelve (12) States normally meet the criteria (>1.5 and <2.5). Thirty-five (35) States indicated that additional work is needed on this attribute (<1.5). Six (6) States indicated that this attribute was not applicable to their State.

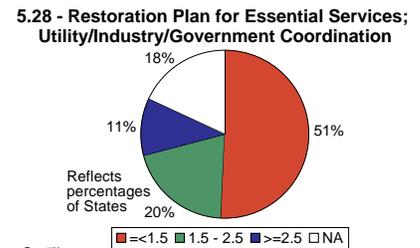


Attribute 5.28–Restoration Plan for Essential Services; Utility/Industry/ Government Coordination

This attribute emphasizes the development and maintenance of a Restoration Plan for essential services in the event of an emergency, the coordination of the plan with other appropriate agencies, and periodic testing of the plan.

28 States indicate development of a restoration plan for essential services as a significant deficiency.

The national average for this attribute is 1.50. Forty-five (45) States indicated that this attribute was applicable to their State. Six (6) States indicated that the attribute always or consistently met the criteria (>2.5). Eleven (11) States normally meet the criteria (>1.5 and <2.5). Twenty-eight (28) States indicated that additional work is needed on this attribute (<1.5). Ten (10) States indicated that this attribute was not applicable to their State.

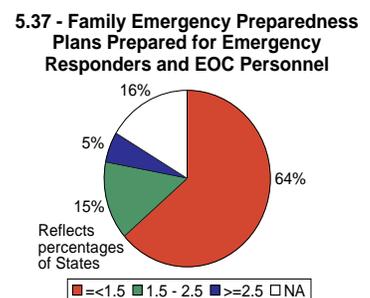


Attribute 5.37–Family Emergency Preparedness Plans Prepared for Emergency Responders and EOC Personnel

The purpose of this attribute is to develop a family emergency plan for key individuals such as EOC personnel and emergency responders. This would be necessary for devastating or widespread disaster events that could affect the families of key response personnel. A plan of this nature would allow responders to carry out their duties without worrying about the safety of their family members.

35 States indicate a low level of capability in this area.

The national average for this attribute is 1.30. Forty-six (46) States indicated that this attribute was applicable to their State. Three (3) States indicated that the attribute always or consistently met the criteria (>2.5). Eight (8) States normally meet the criteria (>1.5 and <2.5). Thirty-five (35) States indicated that additional work is needed on this attribute (<1.5). Nine (9) States indicated that this attribute was not applicable to their State.



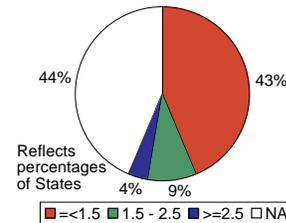
Attribute 5.38–Disaster Housing Resources Established as part of the State Emergency Plan, Maintained as Annex or ESF

Disaster Housing Resources involves: identifying and assigning staff; identifying and budgeting sources of funding for the State share of site development; plan maintenance and updating; and development of SOPs for Disaster Housing Resource (DHR) functions.

24 States rate themselves as lacking a basic capability to manage disaster housing resources in an emergency.

The national average for this attribute is 1.31. Thirty-one (31) States indicated that this attribute was applicable to their State. Two (2) States indicated that the attribute always or consistently met the criteria (>2.5). Five (5) States normally meet the criteria (>1.5 and <2.5). Twenty-four (24) States indicated that additional work is needed on this attribute (<1.5). Twenty-four (24) States indicated that this attribute was not applicable to their State.

5.38 - Disaster Housing Resources Established, Annex or ESF



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 5.1–A Requirements Analysis has been completed for this EM function and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all of the emergency management aspects for the Planning function.

Attribute 5.2–Mitigation Plan

This attribute consists of the development of a Mitigation Plan that normally consists of activities such as: hazard identification and risk assessment; building and fire codes; corrective measures applied to community development, property acquisition, flood insurance, land use planning, public education, incentive programs, public/private partnerships, and training programs.

Attribute 5.5–Function of Donated Goods and Volunteer Services Established, Maintained as a State Emergency Plan Annex or ESF

This involves such activities as: developing SOPs; developing a registration system; identifying lead and supporting State agencies; establishing roles and responsibilities; and developing procedures for receipt, storage, and distribution.

Attribute 5.6–Function of Food, Water Commodities Distribution (FWCD) Established, Maintained as a State Emergency Plan Annex or ESF

This attribute consists of the development of policies, SOPs, inventories, distribution priorities, and the identification of food, water, and commodities resources.

Attribute 5.8–Plans Interface

This involves the interface of State plans with Federal Government plans, adjacent States, local government emergency plans; and plans of business/industry and voluntary organizations.

Attribute 5.9–Planning Assistance to Schools, Business, Industry, Native American Tribes, etc.

This attribute suggests that States provide emergency management planning assistance to schools, businesses, industries, and Native American tribes.

Attribute 5.10–Function of Fire Protection Established, Maintained as a State Emergency Plan Annex or ESF

This attribute includes activities such as developing fire SOPs and checklists, inventory of fire equipment, creating fire focus groups, developing mutual aid agreements, and establishing an incident command system.

Attribute 5.11–Function of Evacuation Established, Maintained as a State Emergency Plan Annex or ESF

Evacuation planning addresses: activation authorities; evacuation routes; modes of transportation; access control; emergency public information; the special needs populations; security in evacuated areas; and the return of people to their homes.

Attribute 5.12–Function of Transportation Established, Maintained as a State Emergency Plan Annex

Transportation planning involves an inventory of transportation resources, establishing points of contact, and developing mutual aid agreements.

Attribute 5.13–Function of Mental Health Established, Maintained as a State Emergency Management Plan Annex

This attribute includes developing mental health plans, referral services, an inventory of mental health agencies or groups, and developing strategies to reduce disaster worker stress.

Attribute 5.14–Function of Medical, Health, and Mortuary Established, Maintained as a State Emergency Plan Annex or ESF

This planning includes developing: an inventory of medical facilities (e.g., hospitals, clinics), supplies and personnel; and plans and procedures for public health guidelines, mortuary services, mass casualties, recordkeeping, and the release of information to the media.

Attribute 5.15–Function of Mass Care Established, Maintained as a State Emergency Plan Annex or ESF

This attribute involves issues such as: working relationships with non-profit, public service, and private sector organizations; mass care sites; registration systems; public inquiries; communications; and various assistance programs for disaster victims.

Attribute 5.17–Function of Voluntary Agencies Coordination Established, Maintained as a State Emergency Plan Annex or ESF

Planning for the involvement of voluntary agencies consists of: designating points of contact; identifying volunteer organizations; inventorying agencies' capabilities; and developing SOPs and checklists.

Attribute 5.19–Function of Direction, Control, and Coordination (DCC) Established, Maintained as a State Emergency Plan Annex

This attribute includes: identifying Federal, State, local, and private sector agencies that are part of the response organization; designating primary and alternate EOCs; establishing EOC staffing; and developing activation procedures.

Attribute 5.22–Function of Energy and Utilities Established, Maintained as a State Emergency Plan Annex or ESF

This attribute involves coordination with energy utilities; development of SOPs and checklists; and establishing an inventory of energy resources.

Attribute 5.24–Function of Warning Established, Maintained as a State Warning Plan

Warning consists of the following planning activities: describes methods to alert and warn the public; identifies warning devices; describes procedures to warn special locations (schools, hospitals, etc.); defines warning signals; specifies the authorities to activate warning systems; and addresses a schedule to test and maintain equipment and train personnel.

Attribute 5.25–Function of Emergency Public Information Established, Maintained as a State Emergency Plan Annex or ESF

This attribute addresses the designation of a Public Information Officer; the development of a Joint Information Center for the media in major disasters; the development of SOPs and checklists; and the description of a system for handling information.

Attribute 5.27–Function of Individual Assistance Established, Maintained as a State Emergency Plan Annex or ESF

Individual Assistance involves: cataloging State, Federal, and volunteer assistance programs; developing SOPs for the Individual and Family Grant (IFG) program; and identifying resources for disaster housing assistance.

Attribute 5.29–Vital Records for Continuity of Government Established and Maintained

This attribute provides for the preservation of vital public records by: identifying vital records required for preservation; developing a capability for alternate storage; and preserving vital records and backups of critical ADP systems.

Attribute 5.31–Function of Damage Assessment Established, Maintained as a State Emergency Plan Annex or ESF

Planning for Damage Assessment involves the following: assigning agencies/individuals to conduct damage assessment; developing procedures for integrating Federal and State damage assessment teams; and using technological capabilities to support the assessment function.

Attribute 5.33–Function of Search and Rescue Established, Maintained as a State Emergency Plan Annex or ESF

The attribute for Search and Rescue consists of the following: designating a SAR coordinator; establishing a task force; providing training and equipment to registered volunteers; creating checklists; and developing mutual aid agreements.

Attribute 5.34–Function of Emergency Engineering Services (ESS) Established, Maintained as a State Emergency Plan Annex or ESF

This attribute involves designating an engineering coordinator; inventorying equipment; and developing SOPs and mutual aid agreements.

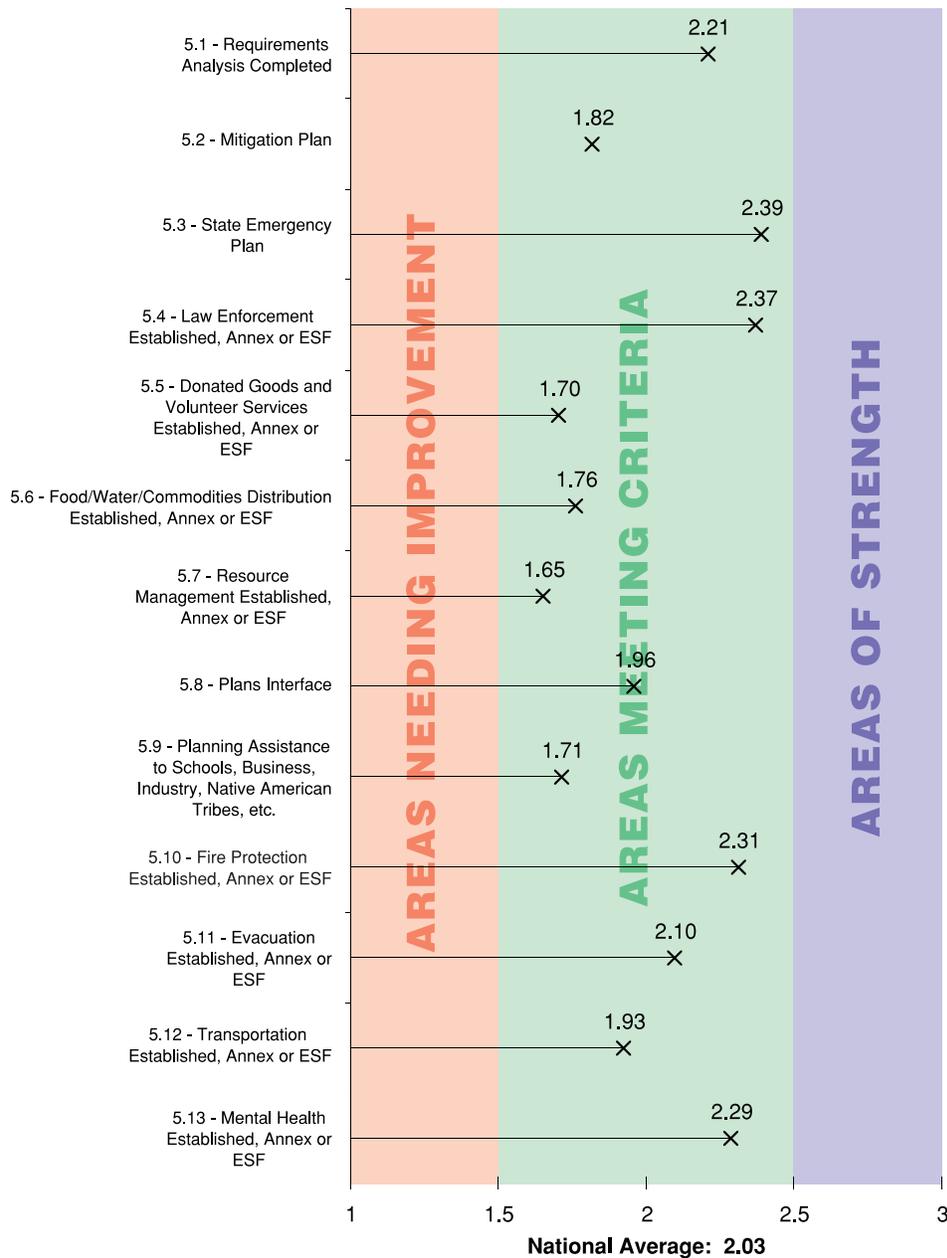
Attribute 5.35–Function of In-Place Shelter Established, Maintained as a State Emergency Plan Annex

Shelter planning includes developing public service announcements and coordinating shelter actions with the Emergency Alert System and warning functions.

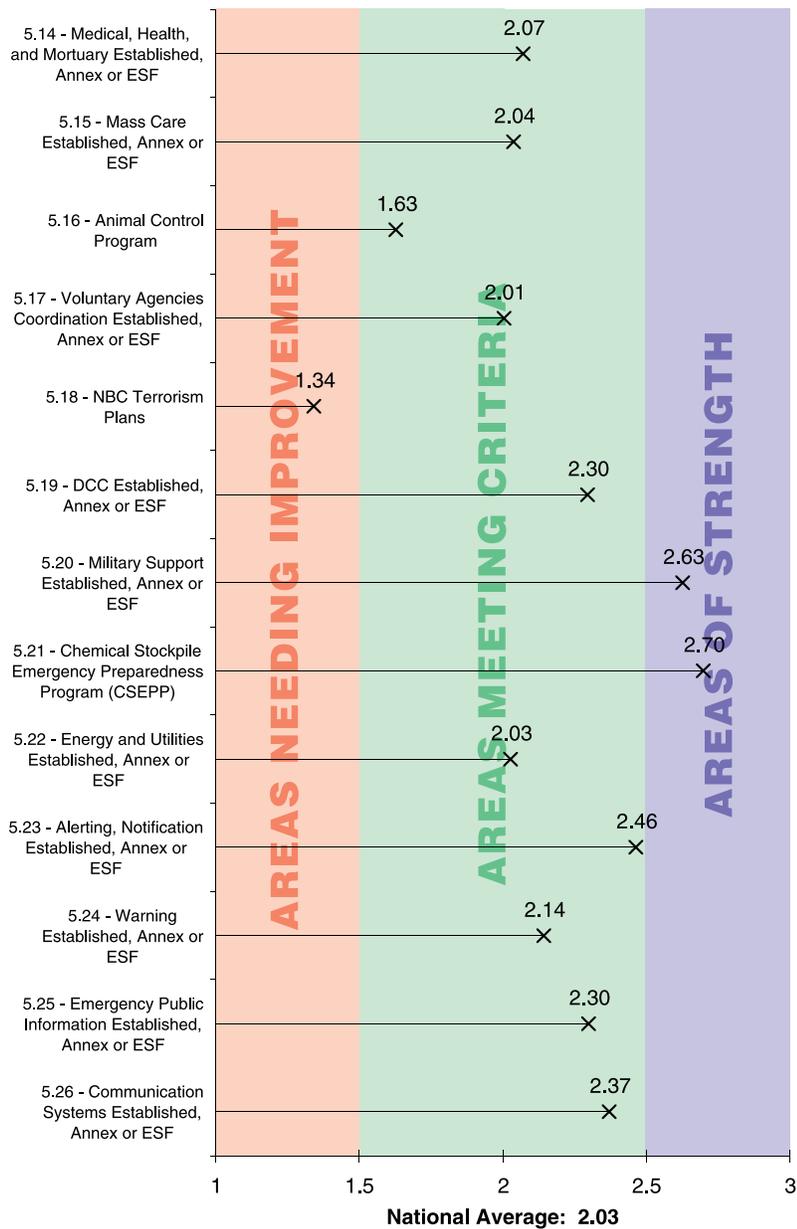
Attribute 5.36–SARA Title III Program

The SARA Title III Program involves establishing Local Emergency Preparedness Committees and developing State and local community hazardous materials preparedness programs.

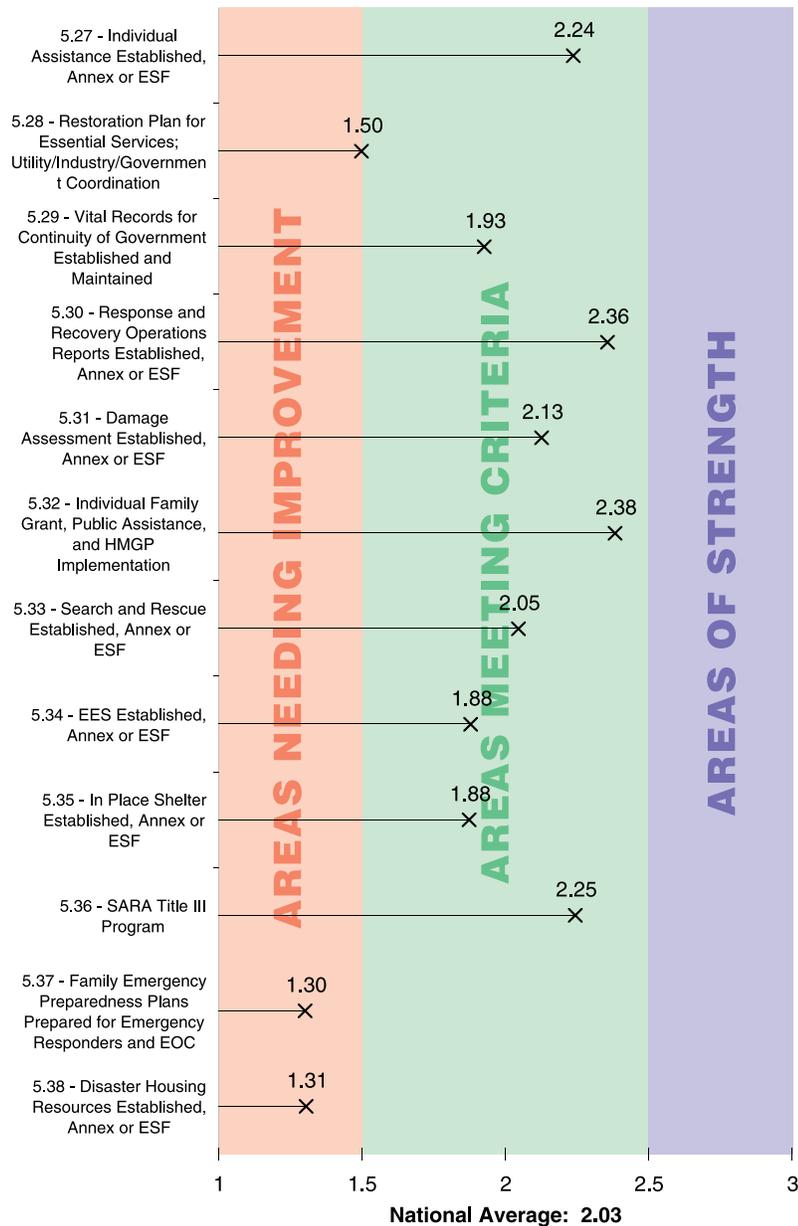
**Planning
Attribute Summary**



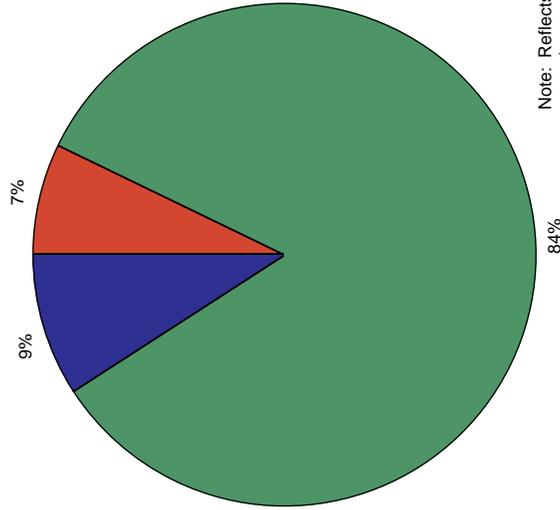
**Planning
Attribute Summary**



**Planning
Attribute Summary**

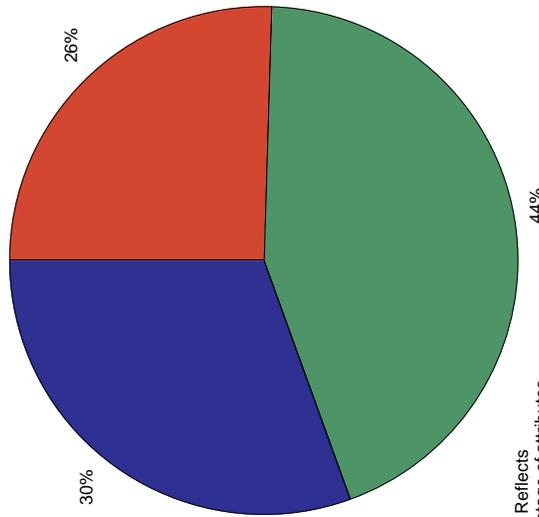


5.0 Planning
EMF Breakout By States

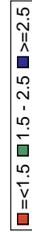


Note: Reflects percentages of States.
National Average: 2.03

5.0 Planning
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.03



EMF #6–DIRECTION, CONTROL, AND COORDINATION (DCC)

THE IMPORTANCE OF DIRECTION, CONTROL, AND COORDINATION

Direction, Control, and Coordination (DCC) is a critical emergency management function. During the phases (pre-, trans-, and post-) of the emergency response effort, it allows officials to (1) analyze the emergency situation and decide how to respond quickly, appropriately, and effectively; (2) direct and coordinate the efforts of the jurisdiction’s various response forces; (3) coordinate with the response efforts of other jurisdictions; and (4) use available resources efficiently and effectively.

Definition: Development of the capability for the chief executive and key officials to direct, control, and coordinate response and recovery operations.

The National Average
is 2.08.

Strengths By Attribute

The scores for most of the attributes in the DCC functional area indicate that most of the States have at least a basic capability in this functional area. The strongest attribute is the Ability to Activate the Emergency Operations Center (EOC). Most States have had extensive experience in activating their EOCs. Most States also have experience in requesting implementation of the Individual and Family Grant, Public Assistance, and Hazard Mitigation Grant Programs.

Attribute 6.3–Have Demonstrated Ability of the EOC to Activate

This attribute includes functions such as crisis action teams, managing requests for outside assistance, developing the declaration process, establishing policies and priorities, defining primary EOC functions, and establishing On-Site Incident Management capability.

30 States indicate a high level of ability to activate the EOC and its primary functions.

34 States indicate a strong capability in the Disaster Declaration Process.

Attribute 6.10–Governor Requests IFG/PA/HMGP Program Implementation

This attribute centers on the infrastructure established for these programs and relationships concerning financial, human resources, and public information activities with other State agencies.

40 States indicate a strong capability to request and administer the Individual and Family Grants, Public Assistance (PA), and Hazard Mitigation Grant Programs.

Direction, control, and coordination is the linchpin to emergency management continuity of operations.

Areas For Improvement By Attribute

While more planning and coordination work needs to be accomplished between State emergency

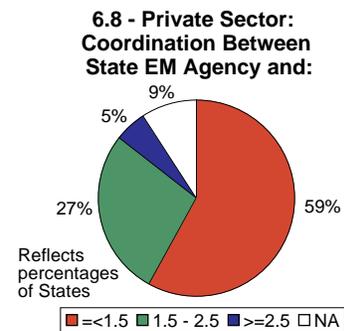
management agencies and the private sector, it would appear that State planning for Disaster Housing Resources represents the most significant shortfall in this functional area. FEMA policy is moving away from providing mobile homes for disaster victims, thereby giving the States more responsibility for disaster housing. States are just getting started in this area. It is interesting that 19 of the 56 respondents mark the Disaster Housing Resources attribute Not Applicable (N/A).

Attribute 6.8–Private Sector: Coordination with State Emergency Management Agency

This involves consistent coordination between the State emergency management agency and private sector organizations including regular meetings, the exchange of information, review of emergency roles and procedures, and updating mutual aid agreements.

32 States indicate they require a much greater effort to improve this attribute.

The national average for this attribute is 1.42. Fifty (50) States indicated that this attribute was applicable to their State. Three (3) States indicated that the attribute always or consistently met the criteria (>2.5). Fifteen (15) States normally meet the criteria (>1.5 and <2.5). Thirty-two (32) States indicated that additional work is needed on this attribute (<1.5). Five (5) States indicated that this attribute was not applicable to their State.

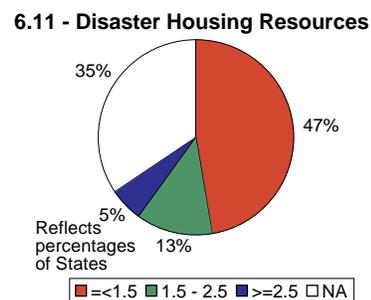


Attribute 6.11–Disaster Housing Resources

This attribute involves the development of lead State element responsibilities and a description of coordination structure and job descriptions by level, i.e., State, sub-state (area, region), county, and municipality.

26 States indicate a low capability, one that needs additional work to meet the attribute.

The national average for this attribute is 1.40. Thirty-six (36) States indicated that this attribute was applicable to their State. Three (3) States indicated that the attribute always or consistently met the criteria (>2.5). Seven (7) States normally meet the criteria (>1.5 and <2.5). Twenty-six (26) States indicated that additional work is needed on this attribute (<1.5). Nineteen (19) States indicated that this attribute was not applicable to their State.



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 6.1–A Requirements Analysis has been completed for this EM function and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all of the emergency management aspects for the Direction, Control, and Coordination function.

Attribute 6.2–EOC Plans, Procedures Used

This attribute involves developing operations planning manuals and guides for: EOC staff procedures; activation; alert and notification; EOC operations; communications; information handling; recordkeeping; agency coordination; interface with FEMA; security; reporting; and training and exercises.

Attribute 6.4–Intrastate Coordination Between State and EM Agency and Other Agencies

This attribute addresses coordination between the State emergency management agency and elected officials, other State agencies, the media, business and industry, municipalities, and civic and professional organizations.

Attribute 6.5–Interstate Coordination with the State EM Agency

This involves coordination between the State EM agency and neighboring jurisdictions including: regular meetings; review of roles and responsibilities; and review of mutual aid agreements and interstate compacts.

Attribute 6.6–Federal Coordination with the State EM Agency

This attribute involves coordination between the State and Federal agencies including regular meetings, review of emergency roles and procedures, and coordination of mutual aid agreements.

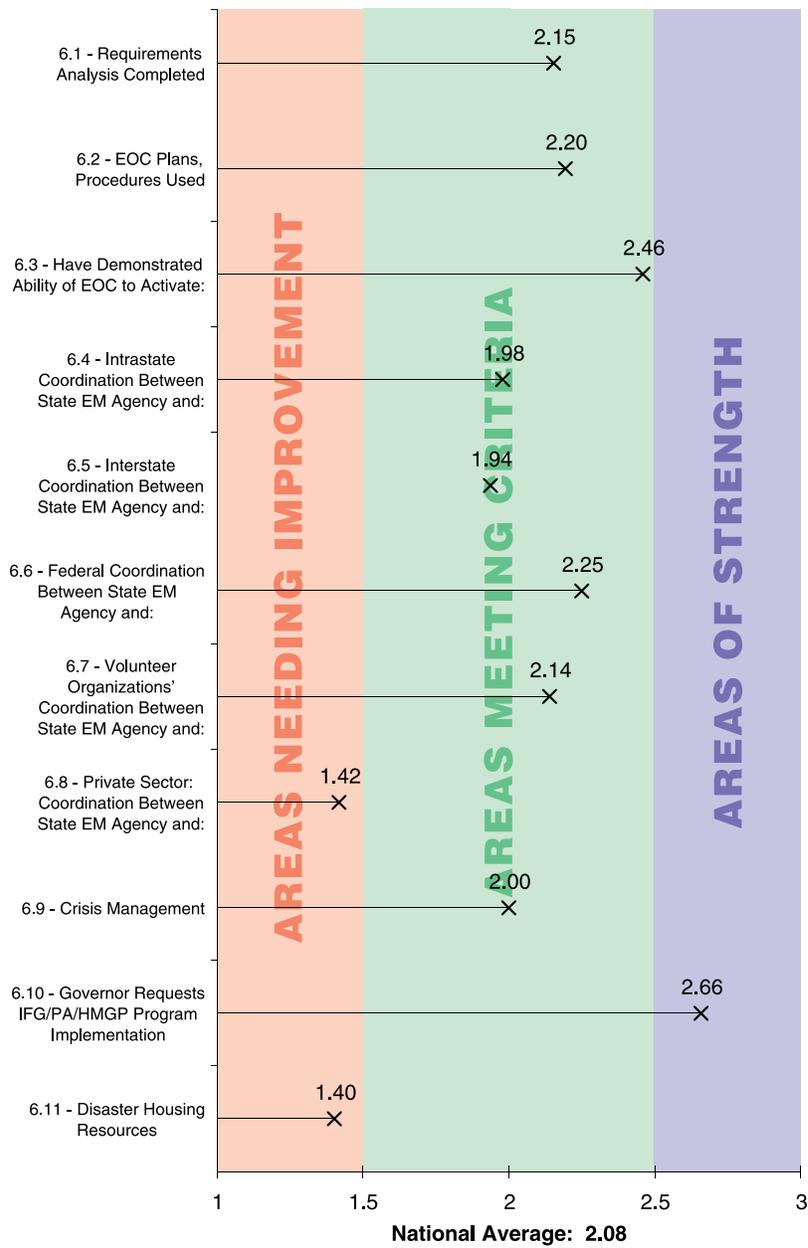
Attribute 6.7–Volunteer Organizations Coordination with State EM Agency

This attribute involves coordination between the State and volunteer agencies including regular meetings, review of emergency roles and procedures, and coordination of mutual aid agreements.

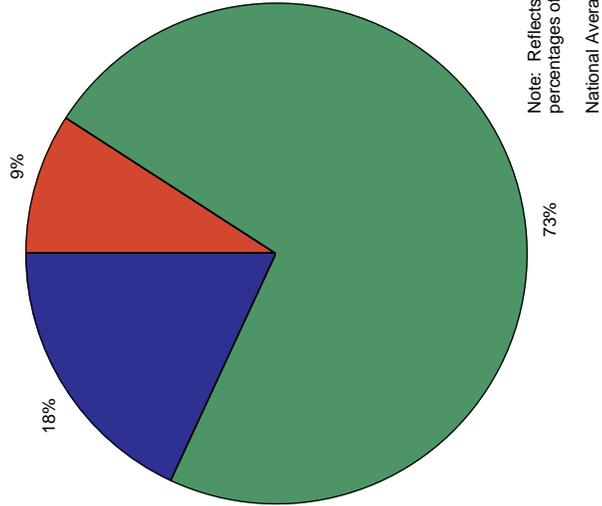
Attribute 6.9–Crisis Management

Crisis Management involves the development of standard operating procedures for the emergency decision making process and notification.

**Direction, Control & Coordination
Attribute Summary**

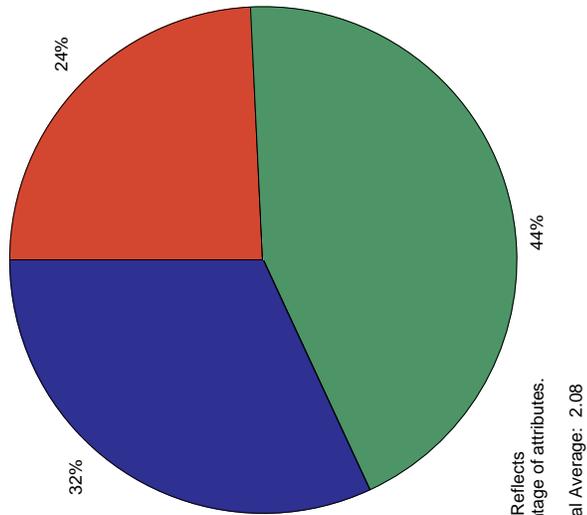


6.0 Direction, Control & Coordination
EMF Breakout By States

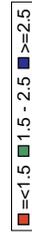


Note: Reflects percentages of States.
National Average: 2.08

6.0 Direction, Control & Coordination
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.08



EMF #7–COMMUNICATIONS AND WARNING

THE IMPORTANCE OF COMMUNICATION AND WARNING

During periods of extreme national emergency, reliable communications are required not only to enable the President to reassure and give direction to the American people, but also to afford the Federal, State, and local emergency managers the opportunity to perform their critical missions. Consequently, there is a continuing requirement for adequate communications capability at all levels of the Government to meet this need.

Definition: Development and maintenance of a reliable communications capability to alert public officials and emergency response personnel, warn the public, and effectively manage response to an actual or impending emergency.

Communications and warning are separate yet integrated critical functions associated with emergency management. From a disaster operations standpoint, it is a widely known fact that without an ability to communicate you lack the ability to manage and control the situation at hand. With

enormous disaster costs (multi-billion dollars a year), different types and greater magnitudes of disasters, and with disasters requiring more sophisticated and more timely responses than in the past, the Federal/State emergency management partners must possess the requisite capability to effectively manage and control disasters. This operational control allows for the emergency responders at all levels to help prevent the loss of life and property.

Of all data assessed within 56 States, the overall rating for Communications and Warning is 2.09, indicating that this capability is currently at the acceptable level within the Capability Assessment for Readiness (CAR) three-level rating system (“normally meets the respective attribute/characteristic”).

The National
Average is 2.09.

Without communications you lack the ability to manage and control.

Strengths By Attribute

The vast majority of the nation has an effective warning system in place to protect its citizens. With the clear need to identify threats to the population, along with the need to properly use limited first responder resources, this is a critical aspect of emergency management that must remain a priority item. While no strengths were identified at the attribute level, numerous strengths exist at the characteristic level.

Areas For Improvement By Attribute

The use of the Geographical Information System (GIS) has become an integral part of assessment and reporting in part to understand more accurately what is needed and when. The full potential of GIS applications has not yet been realized. Shared use between State, local, and Federal responders will greatly help to improve our methods of applying this important technology. GIS use, or lack thereof, should be included in post-event evaluations.

Attribute 7.4–Computer-Based Communications Systems with Shared Mapping Systems

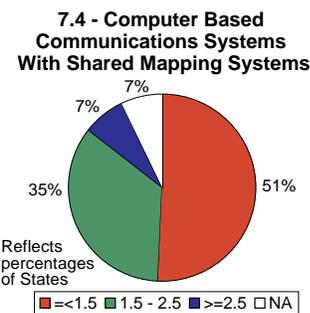
Adequate automated data processing capability to perform necessary emergency operations at the State and local levels of government.

28 States reported their computer-based communication systems with shared mapping systems capability need improvement.

23 States have a weak automated GIS capability.

26 States have a weak automated Global Positioning System (GPS) capability.

The national average for this attribute is 1.55. Fifty-one (51) States indicated that this attribute was applicable to their State. Four (4) States indicated that the attribute always or consistently met the criteria (>2.5). Nineteen (19) States normally meet the criteria (>1.5 and <2.5). Twenty-eight (28) States indicated that additional work is needed on this attribute (<1.5). Four (4) States indicated that this attribute was not applicable to their State.



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 7.1–A Requirements Analysis has been completed for this EM function and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all of the emergency management aspects for the Communications and Warning function.

Attribute 7.2–Demonstrated Warning System Capability

State testing of Warning System hardware and/or software to ensure proper operability.

Attribute 7.3–Disaster Effects Reporting Process; Demonstrated Ability to Communicate

State actual testing of various communications capabilities.

Attribute 7.5–Demonstrated Ability to Use the Various Features of State Warning Systems

State actual testing of various Warning Systems.

Attribute 7.6–Demonstrated Communications Connectivity

State testing of all necessary emergency management communications connections.

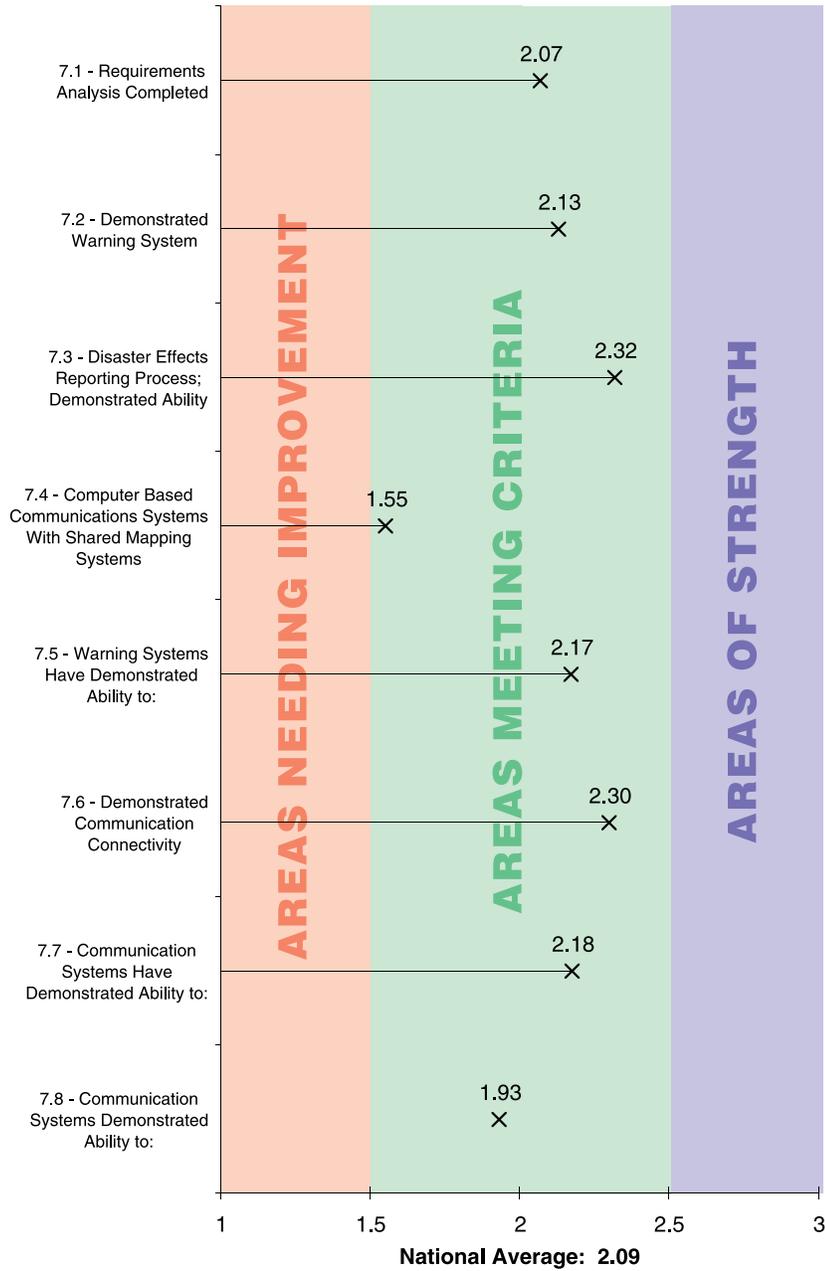
Attribute 7.7–Features of Communications Systems Have Demonstrated Ability to Acquire and Deploy Personnel, Equipment, and Resources in Support of Disaster Operations

State demonstrated ability to coordinate available State, Federal, and local communications systems and equipment and ensure connectivity.

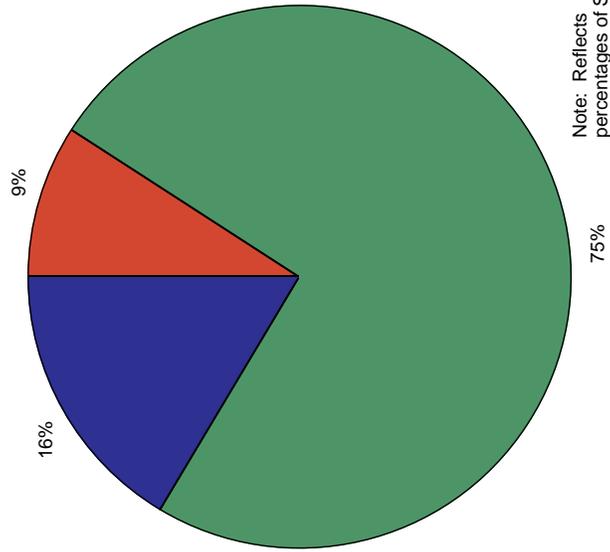
Attribute 7.8–States Demonstrated Ability to Operate Various Communication Systems

The States demonstrate their professional ability to effectively operate HF, VHF, UHF, Microwave, Repeaters, Meteor Burst, Commercial switched telephones/computers/data, and the four primary Satellite communications capabilities.

**Communications & Warning
Attribute Summary**

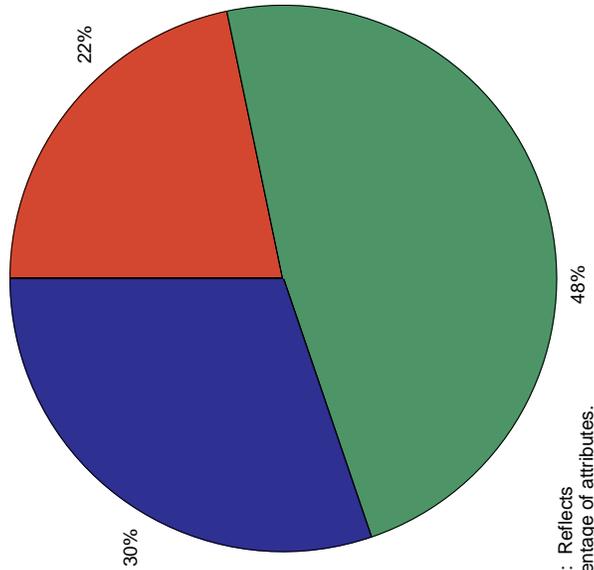


7.0 Communications & Warning
EMF Breakout By States

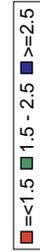


Note: Reflects percentages of States.
National Average: 2.09

7.0 Communications & Warning
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.09



EMF #8—OPERATIONS AND PROCEDURES

THE IMPORTANCE OF OPERATIONS AND PROCEDURES

Definition: Development, coordination, and implementation of operational policies, plans, and procedures for emergency management.

Development, coordination, and implementation of operational policies, plans, and procedures are fundamental to the State emergency management organization. It is through successfully meeting this function that the State emergency management structure is able to mitigate, prepare, respond, and recover from

disasters. It is also through this function that the State emergency management organization coordinates with Federal, local, and private emergency organizations and services.

The National Average is 2.13, which means that States believe they can normally meet the attributes for this function.

Strengths By Attribute

States report having many strong attributes in their disaster operations and procedures. For example, many States report they have a demonstrated

capability to establish operations and procedures after a disaster, based on lessons learned. They can work closely with the National Guard and Federal military forces; are able to request a Presidential Disaster Declaration; and work closely with Federal representatives to implement the IFG, Individual Assistance, Public Assistance programs, and mental health services. Finally, States have established important positions in the Federal Disaster Field Office (DFO) to represent the State Governor, coordinate disaster response, and interact with the media.

Attribute 8.7—Demonstrated Features of Military Support

This attribute refers to the demonstrated capability to use the National Guard and active Federal military units in support of a disaster response. These forces would work in coordination with civilian government and private entities.

31 States report meeting this attribute consistently, utilizing both the National Guard and active Federal military units in their Disaster Response activities.

37 States report a strong capability to utilize the National Guard.

Attribute 8.9—States Have Demonstrated Ability to Utilize an Individual and Family Grant Program State Administrative Plan

This attribute refers to having developed an IFG State Administrative Plan and utilized it in disaster recovery. IFG awards are made to eligible applicants for disaster-related needs.

29 States report a capability to consistently meet this attribute with a developed IFG State Administrative Plan to be implemented during disaster recovery.

28 States have a current SOP for activating their IFG State Administrative Plan.

26 States report having established and utilized a relationship with the National Processing Services Center (NPSC), which transmits applications to States for processing.

*Part IV—Analysis by Emergency Management Function:
Expanded Discussion of Findings and Conclusions*

Attribute 8.11–Demonstrated Ability to Provide Mental Health Services

Provision of mental health services is an important part of any major disaster response due to the mental stress resulting from property loss and even the loss of loved ones. This attribute refers to the demonstrated ability to assess needs for mental health services and provide such services in a post-disaster setting.

28 States report a capability to consistently meet this attribute, demonstrating a capability for providing mental health services after a disaster.

22 States report a capability in crisis counseling to meet mental health needs of victims after a disaster.

Attribute 8.15–Demonstrated Ability to Respond to a Disaster Involving Hazardous Materials

Hazardous materials pervade modern society and can be involved in a wide variety of disasters resulting from floods, hurricanes, earthquakes, etc. This attribute refers to a demonstrated ability to respond to disasters involving hazardous materials.

26 States report a strong capability in responding to emergencies involving hazardous materials.

20 States have established environmental protection guidance for responding to disasters involving hazardous materials.

Attribute 8.19–Demonstrated Ability to Provide Fire Protection

Having a demonstrated ability to provide fire protection involves the ability to coordinate services and supplies at the State level and also to coordinate these services and supplies with local providers.

28 States report a strong capability for providing fire protection.

25 States report they consistently coordinate with local governments to support them in detection and suppression of fires.

26 States report strong capabilities to mobilize and provide personnel, equipment, and supplies in response to fire protection and suppression.

Attribute 8.21–Ability to Request Presidential Disaster Declaration

An ability to request a Presidential Disaster Declaration is extremely important when a disaster exceeds the response capabilities of affected local and State governments.

48 States report a strong capability to consistently request a coordinated Presidential Disaster Declaration when State capabilities for responding are exceeded.

33 States report a strong capability to develop the required initial damage estimate.

38 States report they also are consistently able to request joint Federal/State/local Preliminary Damage Assessments.

36 States report a strong capability to conduct joint Federal/State/local Preliminary Damage Assessments.

Attribute 8.22–Demonstrated Ability to Use Procedures for Public Assistance in Disaster Programs

Public Assistance is a crucial component of disaster response where significant and costly public facilities and resources have been damaged or destroyed. There are specific procedures that must be followed for funds to be allocated under this program. Effective and efficient use of this program is dependent upon use of these procedures.

35 States report they are consistently able to administer the Public Assistance program effectively, in partnership with FEMA, so that Federal/State Public Assistance funding is provided to local jurisdictions.

25 States report the ability to use the required procedures for Public Assistance consistently and accurately.

Attribute 8.23–Demonstrated Ability to Use Procedures for Individual Assistance in Disaster Programs

Individual Assistance is also a crucial component of disaster recovery where individuals have disaster-related losses and needs. The Individual Assistance program provides financial assistance to these individuals. There are specific procedures based on specific eligibility requirements for receiving Individual Assistance.

28 States report consistently demonstrating their ability to use procedures for Individual Assistance in a disaster situation.

22 States report consistently using the required procedures for Individual Assistance in a timely fashion.

Attribute 8.26–State Disaster Organization Position Descriptions Established for a Federal Disaster Field Office

In a large Presidentially declared disaster, the State and Federal Government work closely together in response to its consequences. To do this successfully, the State has to have representatives at the Federal Disaster Field Office (DFO) to represent its interests.

26 States consistently have position descriptions established for State disaster organization representatives in the DFO.

30 States have a Governor’s Authorized Representative established in the Federal DFO.

30 States have a State Coordinating Officer position established at the DFO to assist in coordinating the State’s response to the disaster in conjunction with the Federal response.

25 States have a Hazard Mitigation Officer position established at the Federal DFO to coordinate post-disaster mitigation activities aimed at making facilities and structures less vulnerable in the future.

26 States have a State Public Information Officer (PIO) position established at the Federal DFO to coordinate with Federal representatives on release to the media of information concerning the disaster.

Areas For Improvement By Attribute

The need for improvements in Operations and Procedures is reported for a few specific areas. Particularly, establishing operations to deal with donated goods and volunteer services needs additional work by States. In addition, half the States report also needing additional work in procedures for dealing with animal populations in disasters, Staff Action Guides for DFOs, and community relations. Finally, some States report needing additional work concerning developing and implementing a debris removal program and in planning for maintaining and terminating temporary housing.

Attribute 8.4–Demonstrated Ability to Provide Operations Concerning Donated Goods and Volunteer Services

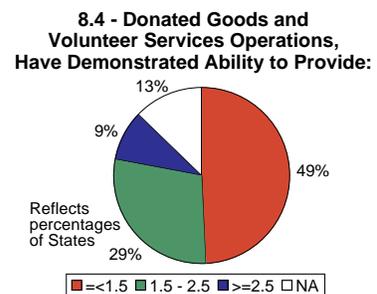
This attribute refers to the demonstrated capability for establishing and maintaining operational capabilities for dealing with unsolicited donated goods and working with the various volunteer services that are a significant part of every major disaster response. Such goods and services supplement the support provided by local, State, and Federal sources.

27 States report that they need additional work to establish and maintain an operational capability for dealing with donated goods and working with volunteer services.

25 States report needing additional work in establishing an inventory and database concerning services and goods available.

23 States report needing work in establishing procedures to get volunteers and donations to areas of need.

20 States report needing additional work in establishing phone banks for disaster victims and response workers.



The national average for this attribute is 1.55. Forty-three (43) States indicated that this attribute was applicable to their State. Five (5) States indicated that the attribute always or consistently met the criteria (>2.5). Sixteen (16) States normally meet the criteria (>1.5 and <2.5). Twenty-seven (27) States indicated that additional work is needed on this attribute (<1.5). Seven (7) States indicated that this attribute was not applicable to their State.

When disaster strikes in rural areas, there can be large negative economic and health consequences if there is no coordinated program for animal populations.

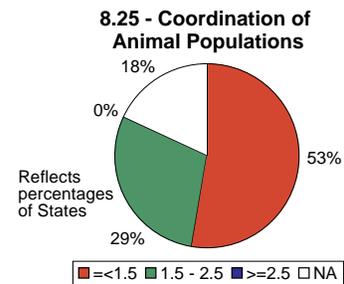
Attribute 8.25–Have Demonstrated Ability to Coordinate an Animal Population Program in Disaster Situations

Programs to deal with animal populations after a disaster are important in both rural and urban areas. When disaster strikes in rural areas there can be large negative economic and health consequences if there is no coordinated program for animal populations. Appropriate treatment or disposal of animals, especially large farm animals, can be a serious resource requirement during a disaster. In urban areas, the need to have an animal control program is also important. For example, reuniting pets with their owners can be a very positive post-disaster event for owners.

29 States report that their ability to coordinate an animal population program needs additional work.

22 States report needing additional work concerning procedures for coordinating water, food, shelter, medical supplies, and medical care for animal populations.

23 States report needing additional work concerning coordinating rescue/capture of animals after a disaster.



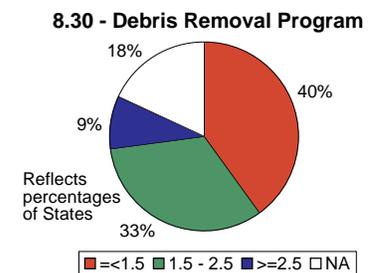
The national average for this attribute is 1.37. Forty-five (45) States indicated that this attribute was applicable to their State. Zero (0) States indicated that the attribute always or consistently met the criteria (>2.5). Sixteen (16) States normally meet the criteria (>1.5 and <2.5). Twenty-nine (29) States indicated that additional work is needed on this attribute (<1.5). Ten (10) States indicated that this attribute was not applicable to their State.

Attribute 8.30–Debris Removal Program

After a large disaster, effective and efficient debris removal (including debris clearance) is key to getting disaster assistance personnel and material into the stricken area quickly and later restoring the area. Approaches to solving debris removal must include environmental considerations.

22 States report that their debris removal program needs additional work.

The national average for this attribute is 1.67. Forty-five (45) States indicated that this attribute was applicable to their State. Five (5) States indicated that the attribute always or consistently met the criteria (>2.5). Eighteen (18) States normally meet the criteria (>1.5 and <2.5). Twenty-two (22) States indicated that additional work is needed on this attribute (<1.5). Ten (10) States indicated that this attribute was not applicable to their State.



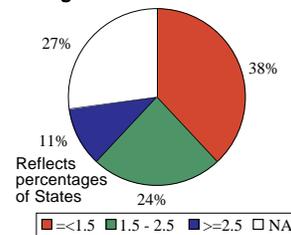
Attribute 8.38–Disaster Field Office has a Community Relations Program

Throughout a disaster response, the Community Relations function coordinates with State and local jurisdictions to identify community leaders (e.g., grassroots, political, religious, educational, business, labor, and ethnic) and neighborhood advocacy groups. These groups assist in the rapid dissemination of information, the identification of unmet needs, establishment of an ongoing dialogue and information exchange, and in facilitating collaborative Federal, State, and local planning and mutual support for disaster recovery. This coordination process is greatly enhanced when the State has a well developed Community Relations capability that can operate in conjunction with the Federal response and recovery effort.

21 States report they need additional work including a community relations program in the DFO.

The national average for this attribute is 1.66. Forty (40) States indicated that this attribute was applicable to their State. Six (6) States indicated that the attribute always or consistently met the criteria (>2.5). Thirteen (13) States normally meet the criteria (>1.5 and <2.5). Twenty-one (21) States indicated that additional work is needed on this attribute (<1.5). Fifteen (15) States indicated that this attribute was not applicable to their State.

8.38 - Community Relations Program Conducted at DFO



Attribute 8.43–Disaster Housing Resources Mission Implementation

Following a disaster, the provision of housing is a crucial requirement for those victims whose houses have been destroyed or damaged to such an extent that they cannot be inhabited until repairs are made. The provision of housing units (mobile homes/travel trailers) is one way to provide such temporary housing, if there is no available vacant housing suitable for occupancy.

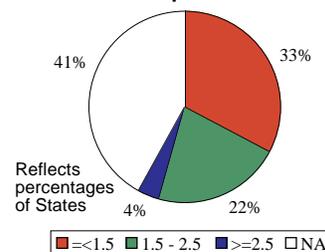
18 States report needing to conduct additional work to provide disaster housing resources.

14 States report that they need additional work in conducting a needs assessment for housing units, doing site assessments for the units, and identifying, establishing, and managing staging areas.

14 States report that they also need additional work in unit maintenance during occupancy and in termination of housing assistance and in tenant eviction procedures.

The national average for this attribute is 1.50. Thirty-two (32) States indicated that this attribute was applicable to their State. Two (2) States indicated that the attribute always or consistently met the criteria (>2.5). Twelve (12) States normally meet the criteria (>1.5 and <2.5). Eighteen (18) States indicated that additional work is needed on this attribute (<1.5). Twenty-three (23) States indicated that this attribute was not applicable to their State.

8.43 - Disaster Housing Resources Mission Implementation



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 8.1–A Requirements Analysis has been completed for this EM function and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all of the emergency management aspects for the Operations and Procedures function.

Attribute 8.2–State Mitigation Program Implementation

Requires the establishment and maintenance of a comprehensive mitigation program including identifying potential hazards, assessing State capabilities and developing short- and long-range mitigation objectives and strategies that can be funded, implemented, and maintained.

Attribute 8.3–Law Enforcement Operations

Requires a demonstrated ability to support and coordinate law enforcement operations with the National Guard and local law enforcement officials to ensure public warning, traffic and crowd control, first aid and search and rescue, evacuation procedures, and communications connectivity can be conducted or maintained.

Attribute 8.5–Features of Mass Care

Requires a demonstrated ability to coordinate mass care with local governments and provide for individual needs in such areas as food, shelter, medical and social services support, and sanitation.

Attribute 8.6–Features of Transportation

Requires a demonstrated ability to provide air, land, rail, and water transportation for resources, emergency responders, and victims.

Attribute 8.8–Features of Volunteer Agency Affairs (VAA)

Requires a demonstrated ability for States to coordinate Volunteer Agencies' provision and transport of food and water, and their provision of counseling and information services.

Attribute 8.10–Emergency Resource Management Operations

Requires the demonstrated ability to identify unmet disaster needs and analyze needed resources, as well as the direction and control of these resources to meet identified needs.

Attribute 8.12–Features of Damage Assessment

Requires the demonstrated ability to ensure that pre-disaster maps, photos, and other documents are available and that damage assessment teams can be deployed to collect damage information and produce damage assessments.

Attribute 8.13–Features of Search and Rescue

Requires a demonstrated ability to support search and rescue teams that can locate, extricate, and provide medical aid to disaster victims.

Attribute 8.14–Features of Medical, Health, and Mortuary (MH&M)

Requires a demonstrated ability to support and provide public health services including disease, vector, and waste control; the treatment of victims; and the provision of mortuary services.

Attribute 8.16–Features of Evacuation

Requires the ability to support provision of warning, notification, alerting, and transportation out of an endangered area, and then re-entry into the evacuation area after the danger has passed.

Attribute 8.17–Incident Command System (ICS)

Requires the ability to use the Incident Command System (ICS) to manage disaster operations.

Attribute 8.18–Use of State Response Staff Action Guides and Field Operations Guides

Guides for State response and field operations are very useful in emergency disaster situations where all personnel are heavily committed. Such guides list what is expected and needed, and enable effective use of staff and resources in disaster situations. They are useful tools in rostering critical personnel. In addition, such guides are valuable for training and exercises.

Attribute 8.20–Features of In-Place Shelter

Requires the ability to support local governments' "Shelter In-Place" programs and in those CSEPP areas, and provide zone-specific information.

Attribute 8.24–Features of Special Populations

Requires the ability to identify and locate special populations, evacuate them, if necessary, and provide emergency medical care, water, food, and shelter, if required.

Attribute 8.27–Training Provided to State DFO Staff

Requires that training be provided to State staff assigned to a DFO.

Attribute 8.28–State Interface with Federal Emergency Response Team

Requires that States are able to interface with Federal Emergency Response Teams in such areas as information and planning, transportation, communications, public works, public information, firefighting, mass care, food, health, and medical.

Attribute 8.29–Features of Response and Recovery Operations Reports

Requires the demonstrated ability to develop response and recovery reports that include situation reports, including status on personnel, equipment, and facilities, and the development of action plans.

Attribute 8.31–Recovery Functions

Requires that recovery plans have been developed, procedures for conducting damage assessments are established, and recovery staff mobilized.

Attribute 8.32–Corrective Actions Initiated

Requires that post-emergency/disaster critiques and debriefings take place and procedures for modifying emergency organizations and programs be based on lessons learned.

Attribute 8.33–Features of Energy and Utilities

Requires the demonstrated ability to identify emergency and restoration energy needs, and meet these needs by providing the required manpower, materials, and equipment through coordination with the private sector.

Attribute 8.34–Features of Emergency Engineering Services (EES)

Requires the ability to support the identification of damage to transportation and utility systems, and their emergency repair, closure, or restoration. Also requires the ability to support flood control efforts.

Attribute 8.35–State Mitigation Program Implemented

Requires the ability to perform benefit/cost analysis, inform citizens about hazards and risk reduction, and administer pre- and post-disaster mitigation project grants.

Attribute 8.36–Features of Human Resources

Requires the demonstrated ability to obtain the required number of employees in a disaster situation either by recalling off-duty staff, hiring temporary workers, and/or obtaining volunteers.

Attribute 8.37–Features of Emergency Public Information

Requires the demonstrated ability to coordinate and disseminate information to the public, monitor media reports, and respond to media inquiries.

Attribute 8.39–Features of Shelter

Requires the demonstrated ability to identify, stock, and staff emergency shelters.

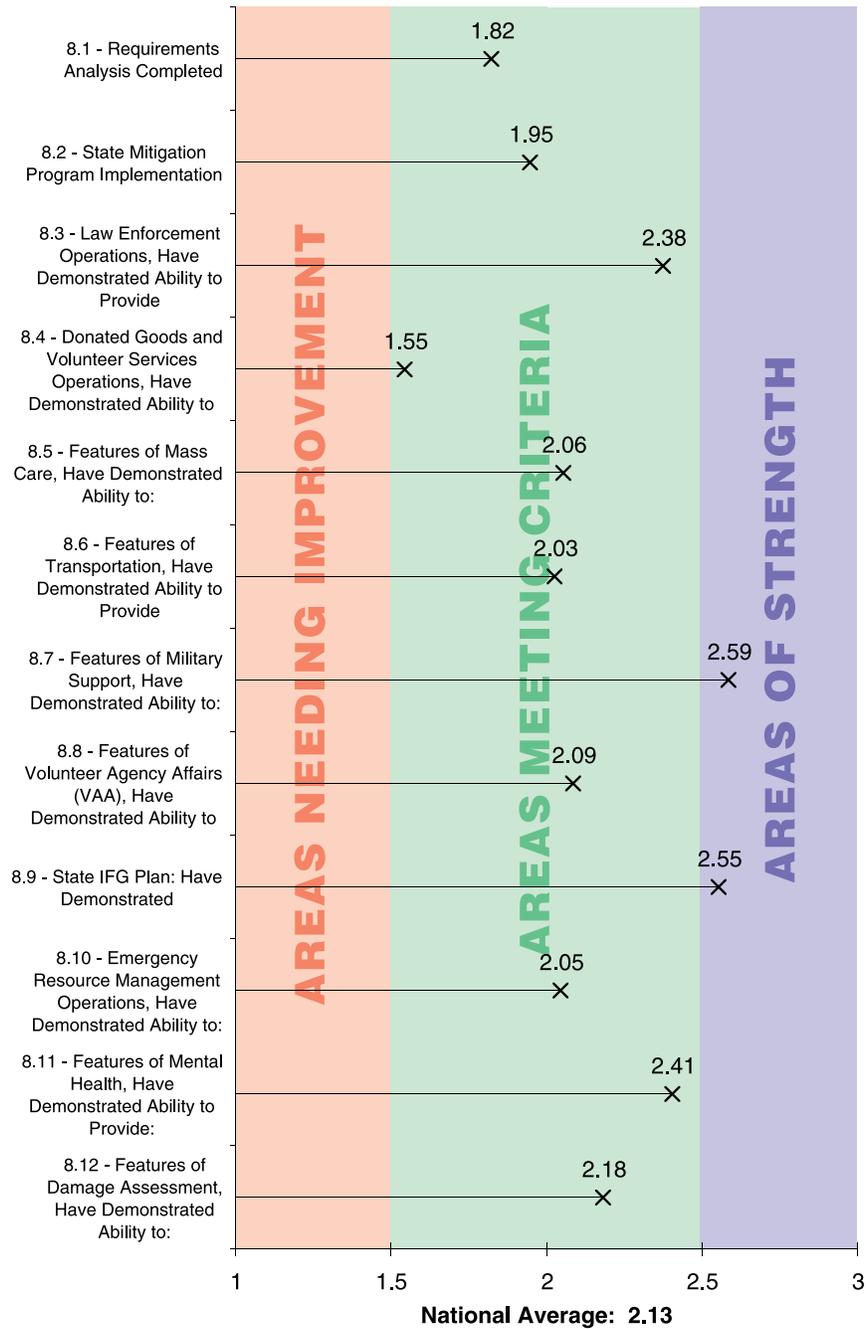
Attribute 8.40–State Human Services Staffing Established at DFO

Requires the ability to provide human services staffing in the areas such as assistance, housing disaster loans, IFG programs, and crisis counseling.

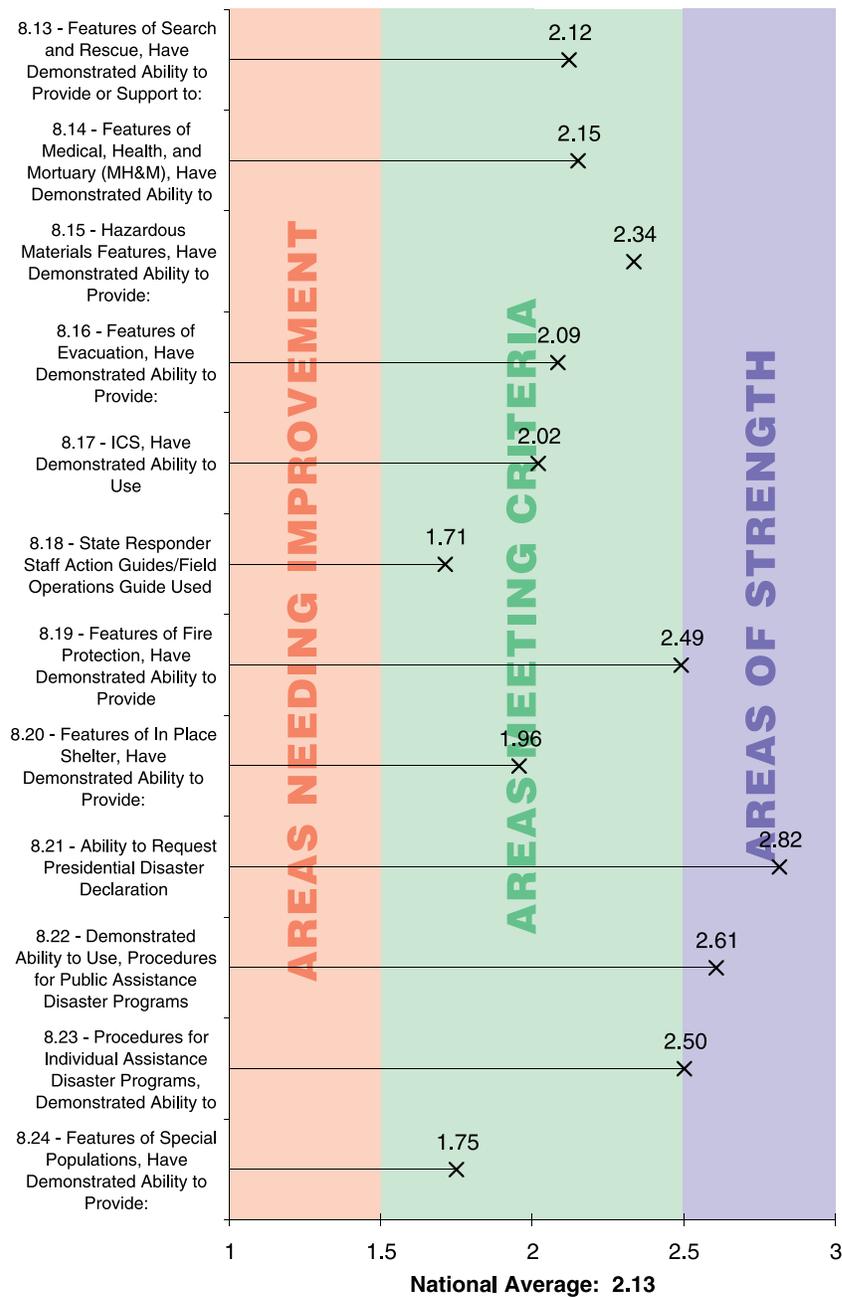
Attribute 8.42–Ability to Request Fire Suppression Assistance Program

Requires the ability to follow specific procedures when applying for a Fire Suppression Assistance Declaration and to coordinate with FEMA.

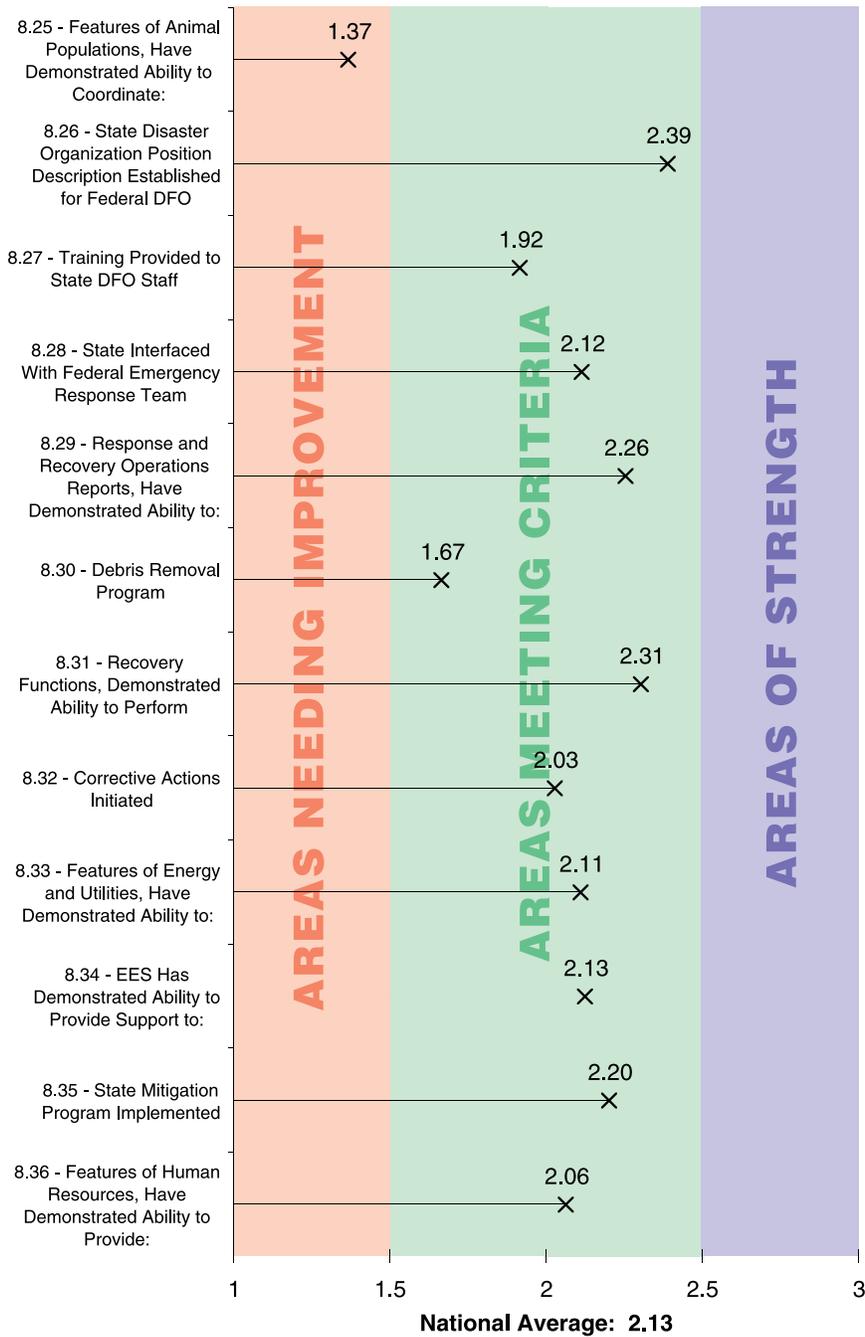
Operations & Procedures
Attribute Summary



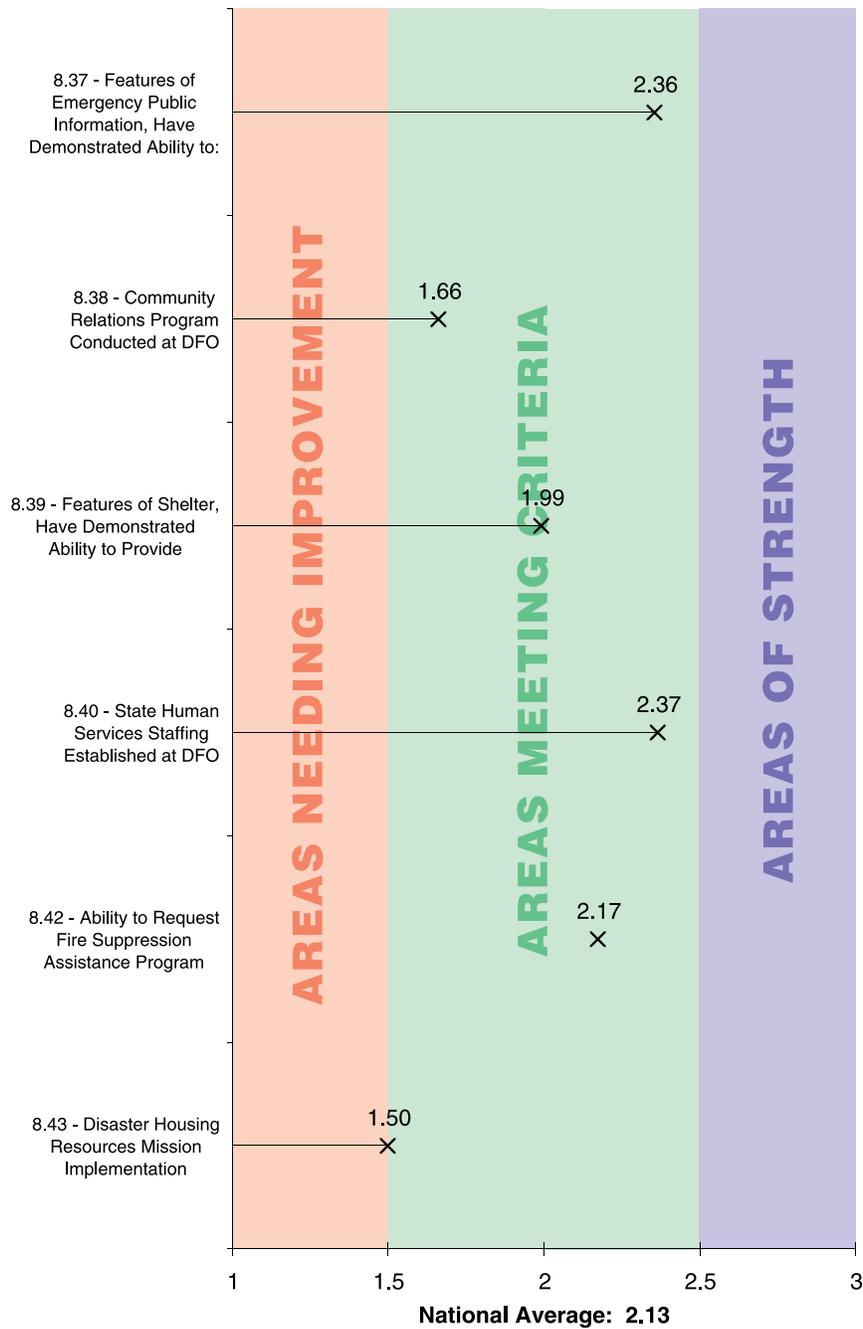
Operations & Procedures
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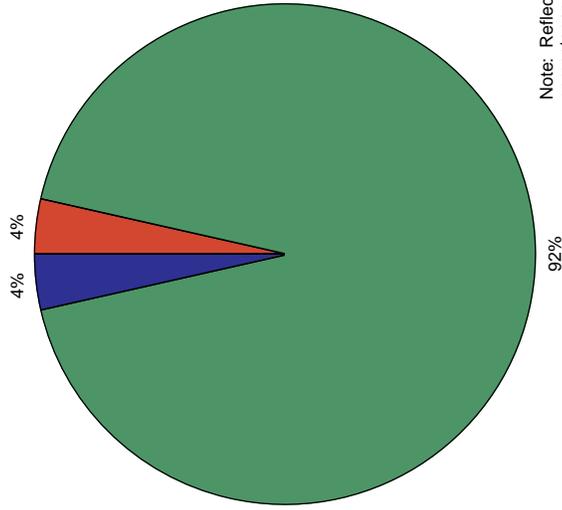
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Operations & Procedures
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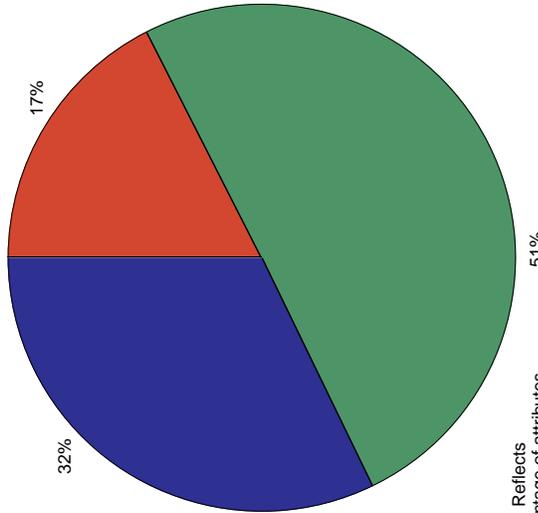


8.0 Operations & Procedures
EMF Breakout By States

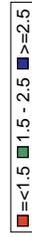


Note: Reflects percentages of States.
National Average: 2.13

8.0 Operations & Procedures
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.13



EMF #9–LOGISTICS AND FACILITIES

THE IMPORTANCE OF LOGISTICS AND FACILITIES

Definition: Identification, location, acquisition, distribution, and accounting for services, resources, materials, and facilities to support emergency management. Logistics actions fall into one of four major categories: material management, property management, facility management, and transportation management.

Logistics and facilities are fundamental to successful emergency management. After a disaster, local sources of supplies can be damaged or destroyed. Many facilities in the disaster area can also be damaged or destroyed, while temporary facilities must be established to support a large influx of local, State, Federal, non-Governmental, and private sector responders. Logistics support needs to be brought in from the outside. Storage of critical items or pre-identification of sources for critical items is needed to ensure timely response of life sustaining items. Facilities able to withstand the possible disasters in the area should also be pre-identified to allow rapid occupation by emergency responders.

Logistics and Facilities has emerged as one of several national priority areas for improvement.

The National Average
is 1.89.

Strengths By Attribute

consistently. The possible consequences due to the lack of monitoring and lack of quick utilization of monitoring data during an incident involving a nuclear facility are well known and could be severe. This capability is a high priority in those States having nuclear facilities.

Radiological monitoring support is the only logistics attribute that States reported being able to meet

Attribute 9.10–Radiological Emergency Preparedness (REP) Incident Monitoring

Capability to monitor a nuclear incident, analyze data, and coordinate results with authorities to help ensure protection of the population.

30 States report strong capability to monitor a nuclear incident, analyze the data, and coordinate the results with authorities and the media.

21 States report having the capability to directly monitor the nuclear facility from a nearby off-site facility.

22 States report having a central point for the receipt, analysis, and coordination of field monitoring data and for dealing with the media.

States note a lack of funds to support logistics operations.

Areas For Improvement By Attribute

States report that they need additional work in a wide variety of logistics areas essential to effective,

efficient, timely, and accountable emergency management. Critical logistics areas need additional work (e.g., acquiring, transporting, storing, and accounting for commodities). As a result, this often means that key items needed for disaster operations either are not available, arrive late, are inappropriate due to inaccurate requirements, or are perhaps “lost.” The need for additional planning, checklists, and SOPs further exacerbates the logistical problems. Finally, States note a lack of funds to support logistics operations. They report that some of these problems have been particularly evident in their logistics support for the program areas of donated goods and temporary disaster housing.

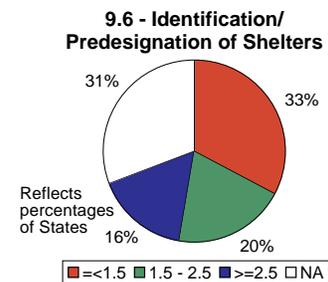
Attribute 9.6–Identification/Pre-Designation of Shelters

The identification and official designation of shelters before a disaster.

18 States reported needing additional work in identifying and designating shelters before a disaster.

16 States need additional work in developing maps of shelters by jurisdiction, including shelter addresses.

The national average for this attribute is 1.76. Thirty-eight (38) States indicated that this attribute was applicable to their State. Nine (9) States indicated that the attribute always or consistently met the criteria (>2.5). Eleven (11) States normally meet the criteria (>1.5 and <2.5). Eighteen (18) States indicated that additional work is needed on this attribute (<1.5). Seventeen (17) States indicated that this attribute was not applicable to their State.



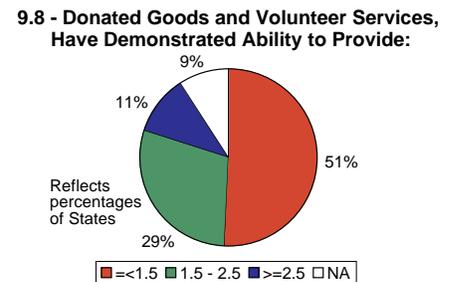
Attribute 9.8–Demonstrated Ability to Provide Donated Goods and Volunteer Services

The capability to perform logistics functions in support of the management and delivery of donated goods and volunteer services. Such activities include management, storage, distribution, and collection of donated goods.

28 States report that their capability to provide logistics support for donated goods and volunteer services during a disaster needs additional work.

19 States report needing additional work in the storage and distribution of donated goods.

The national average for this attribute is 1.56. Fifty (50) States indicated that this attribute was applicable to their State. Six (6) States indicated that the attribute always or consistently met the criteria (>2.5). Sixteen (16) States normally meet the criteria (>1.5 and <2.5). Twenty-eight (28) States indicated that additional work is needed on this attribute (<1.5). Five (5) States indicated that this attribute was not applicable to their State.



Attribute 9.11–General Facility Operations

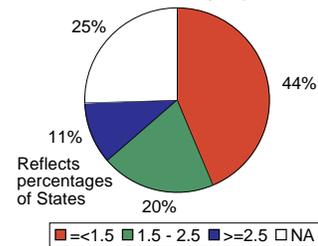
The identification, setup, and initial operations of critical temporary facilities established in or near the disaster area to support disaster operations.

24 States report needing additional work in general facility operations.

21 States report needing additional work in pre-identification of temporary warehouses, arrival points, field offices, and command posts.

The national average for this attribute is 1.57. Forty-one (41) States indicated that this attribute was applicable to their State. Six (6) States indicated that the attribute always or consistently met the criteria (>2.5). Eleven (11) States normally meet the criteria (>1.5 and <2.5). Twenty-four (24) States indicated that additional work is needed on this attribute (<1.5). Fourteen (14) States indicated that this attribute was not applicable to their State.

9.11 - General Facility Operations



Attribute 9.12–Transportation and Coordination

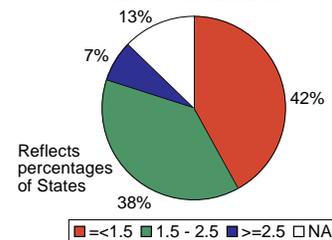
Sources of, and coordination of, transportation assets constitute an important component of logistics management. Transportation occurs into and out of the disaster area as well as within the disaster area itself. Also, different modes of transportation need to be considered such as air, rail, ground, and maritime. Pre-identification of multi-modal transportation sources, establishment of agreements to obtain these assets rapidly, and development of movement plans for known possible disasters help to fulfill this attribute's requirement. Moving commodities and teams during disaster operations is expensive. Sensible planning and execution of transportation activities can save taxpayer dollars while ensuring a more timely delivery of critical assets.

23 States report that they need additional work in the transportation and coordination area.

27 States report needing to do additional work to have contracts in place for moving stored commodities in response to a disaster.

The national average for this attribute is 1.70. Forty-three (43) States indicated that this attribute was applicable to their State. Four (4) States indicated that the attribute always or consistently met the criteria (>2.5). Twenty-one (21) States normally meet the criteria (>1.5 and <2.5). Twenty-three (23) States indicated that additional work is needed on this attribute (<1.5). Seven (7) States indicated that this attribute was not applicable to their State.

9.12 - Transportation and Coordination



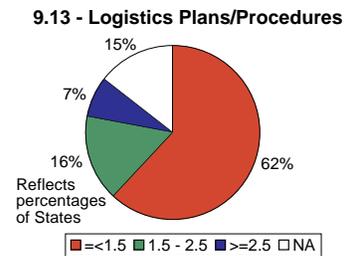
Attribute 9.13–Logistics Plans/Procedures

Logistics planning and the development of logistics procedures need to be done in advance of a disaster. During disaster operations, it is difficult to develop plans and work out procedures as to how to obtain items, move them, store them, and account for them.

34 States report needing additional work in logistics plans and procedures.

24 States report that logistics position descriptions and checklists for logistics teams need further development.

20 States report needing additional work in developing SOPs for resource ordering, sourcing, transporting, storing, and accounting for logistics items.



The national average for this attribute is 1.47. Forty-two (42) States indicated that this attribute was applicable to their State. Four (4) States indicated that the attribute always or consistently met the criteria (>2.5). Nine (9) States normally meet the criteria (>1.5 and <2.5). Thirty-four (34) States indicated that additional work is needed on this attribute (<1.5). Eight (8) States indicated that this attribute was not applicable to their State.

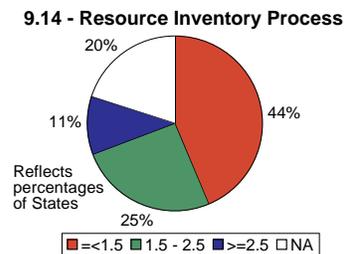
Attribute 9.14–Resource Inventory Process

Inventories of commodities moved into the disaster area can quickly accumulate. In addition, inventories of items commonly needed in disaster response are often stored in anticipation of a disaster. A resource inventory process is needed to monitor the location and availability of resources and to track the movement of commodities and teams through the system. This will aid logistics personnel in their efforts to receive goods and teams, distribute stock, anticipate shortfalls, alert officials when critical stock levels are reached, order commodities, account for property, and retrieve property at the conclusion of an operational activity.

24 States report that they need additional work in the resource inventory process.

15 States report needing to conduct additional work in writing SOPs for their resource inventory process and in automating this process.

17 States report needing additional work in identifying critical stocking levels for logistics items.



The national average for this attribute is 1.62. Forty-four (44) States indicated that this attribute was applicable to their State. Six (6) States indicated that the attribute always or consistently met the criteria (>2.5). Fourteen (14) States normally meet the criteria (>1.5 and <2.5). Twenty-four (24) States indicated that additional work is needed on this attribute (<1.5). Eleven (11) States indicated that this attribute was not applicable to their State.

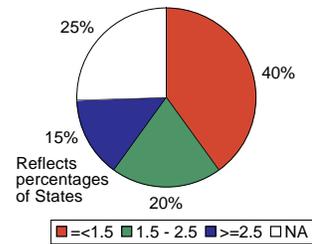
Attribute 9.15–Storage and Warehousing

The identification, operation, and maintenance of warehouse facilities needed for storing critical resources in preparation for disasters. Storage and warehouse activities specific to the disaster field operation are covered in Attribute 9.11 above.

22 States report that they need additional work in storage and warehousing critical resources.

The national average for this attribute is 1.66. Forty-one (41) States indicated that this attribute was applicable to their State. Eight (8) States indicated that the attribute always or consistently met the criteria (>2.5). Eleven (11) States normally meet the criteria (>1.5 and <2.5). Twenty-two (22) States indicated that additional work is needed on this attribute (<1.5). Fourteen (14) States indicated that this attribute was not applicable to their State.

9.15 - Storage and Warehousing



Attribute 9.17–Resource Sourcing

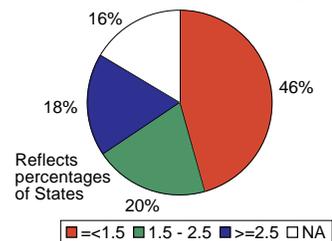
Development of standby contracts and agreements with Governmental organizations, identifying multiple sources of critical commodities, and identifying means to fill typical requirements costs effectively.

25 States report that they need additional work in resource sourcing of critical commodities or services.

20 States report needing work in establishing standby contracts to obtain critical commodities or services.

The national average for this attribute is 1.71. Forty-six (46) States indicated that this attribute was applicable to their State. Ten (10) States indicated that the attribute always or consistently met the criteria (>2.5). Eleven (11) States normally meet the criteria (>1.5 and <2.5). Twenty-five (25) States indicated that additional work is needed on this attribute (<1.5). Nine (9) States indicated that this attribute was not applicable to their State.

9.17 - Resource Sourcing



Attribute 9.18–Asset Visibility

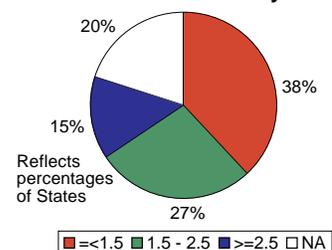
The ability to track and account for assets as they are sourced, ordered, transported, received, issued, and retrieved, using specific processes and tools (e.g., databases).

21 States report they need additional work in developing asset visibility.

19 States report needing to further develop automated systems to track assets.

The national average for this attribute is 1.76. Forty-four (44) States indicated that this attribute was applicable to their State. Eight (8) States indicated that the attribute always or consistently met the criteria (>2.5). Fifteen (15) States normally meet the criteria (>1.5 and <2.5). Twenty-one (21) States indicated that additional work is needed on this attribute (<1.5). Eleven (11) States indicated that this attribute was not applicable to their State.

9.18 - Asset Visibility

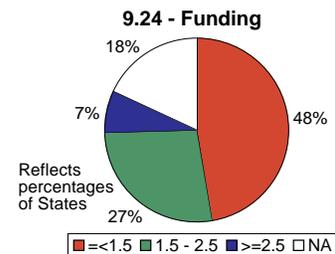


Attribute 9.24–Funding

Logistics managers require sufficient resources to support logistics operations, including the warehousing and maintenance of critical response items.

26 States report a need for additional work in this area.

The national average for this attribute is 1.51. Forty-five (45) States indicated that this attribute was applicable to their State. Four (4) States indicated that the attribute always or consistently met the criteria (>2.5). Fifteen (15) States normally meet the criteria (>1.5 and <2.5). Twenty-six (26) States indicated that additional work is needed on this attribute (<1.5). Ten (10) States indicated that this attribute was not applicable to their State.



Attribute 9.25–Disaster Housing Sites

Logistics support to temporary housing (e.g., trailers or mobile homes) following a disaster. Such support includes identifying sources for housing units and parts, staging areas and sites for housing units, transportation and property disposition procedures.

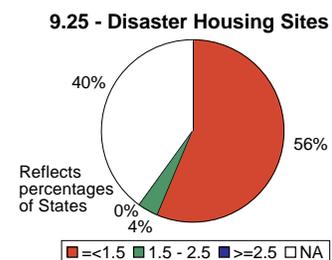
31 States report that they need additional work to logistically support disaster housing.

23 States report a need to identify additional staging areas for housing units.

24 States report a need to identify more commercial sites and transportation vendors, as well as to develop standby contracts for unit and parts acquisition.

25 States report a need to identify more group sites for temporary housing.

The national average for this attribute is 1.10. Thirty-three (33) States indicated that this attribute was applicable to their State. Zero (0) States indicated that the attribute always or consistently met the criteria (>2.5). Two (2) States normally meet the criteria (>1.5 and <2.5). Thirty-one (31) States indicated that additional work is needed on this attribute (<1.5). Twenty-two (22) States indicated that this attribute was not applicable to their State.



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 9.1–A Requirements Analysis has been completed for this EM function and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all the emergency management aspects for the Logistics and Facilities function.

Attribute 9.2–Identification/Pre-Designation of Congregate Care Facilities

Requires the identification and pre-designation of facilities for congregate care.

Attribute 9.3–Identification of Critical Energy and Utility Facilities

Requires that a plan for response and recovery from electrical energy outages consider and locate alternate power facilities.

Attribute 9.4–Identification of Sites/Facilities to Serve as Disaster Recovery Centers (DRCs)

Requires that sites/facilities be identified as Disaster Recovery Centers for Government, private, and volunteer staffs.

Attribute 9.5–EOC Physical Facility

Requires that locations be identified and that equipping, supplying, and staffing of EOCs be accomplished.

Attribute 9.7–CSEPP Decon Sites

Requires that chemical decontamination sites be chosen and appropriately equipped.

Attribute 9.9–IFG Program Equipment Resources Identified

Requires that resources to conduct an IFG program in a disaster be identified.

Attribute 9.16–Property Accountability

Requires that the process and forms for transferring property from one party to another be developed.

Attribute 9.19–Operations and Maintenance

Requires that sufficient material handling equipment be available in a disaster.

Attribute 9.20–Acquisition

Requires the pre-identification of suppliers and specifications of commonly needed commodities be developed.

Attribute 9.21–Receiving

Requires that procedures to report receiving discrepancies to finance and ordering officials be developed.

Attribute 9.22–Retrieval

Requires development of a procedure for retrieving, rehabilitating, and returning non-expendable property to storage.

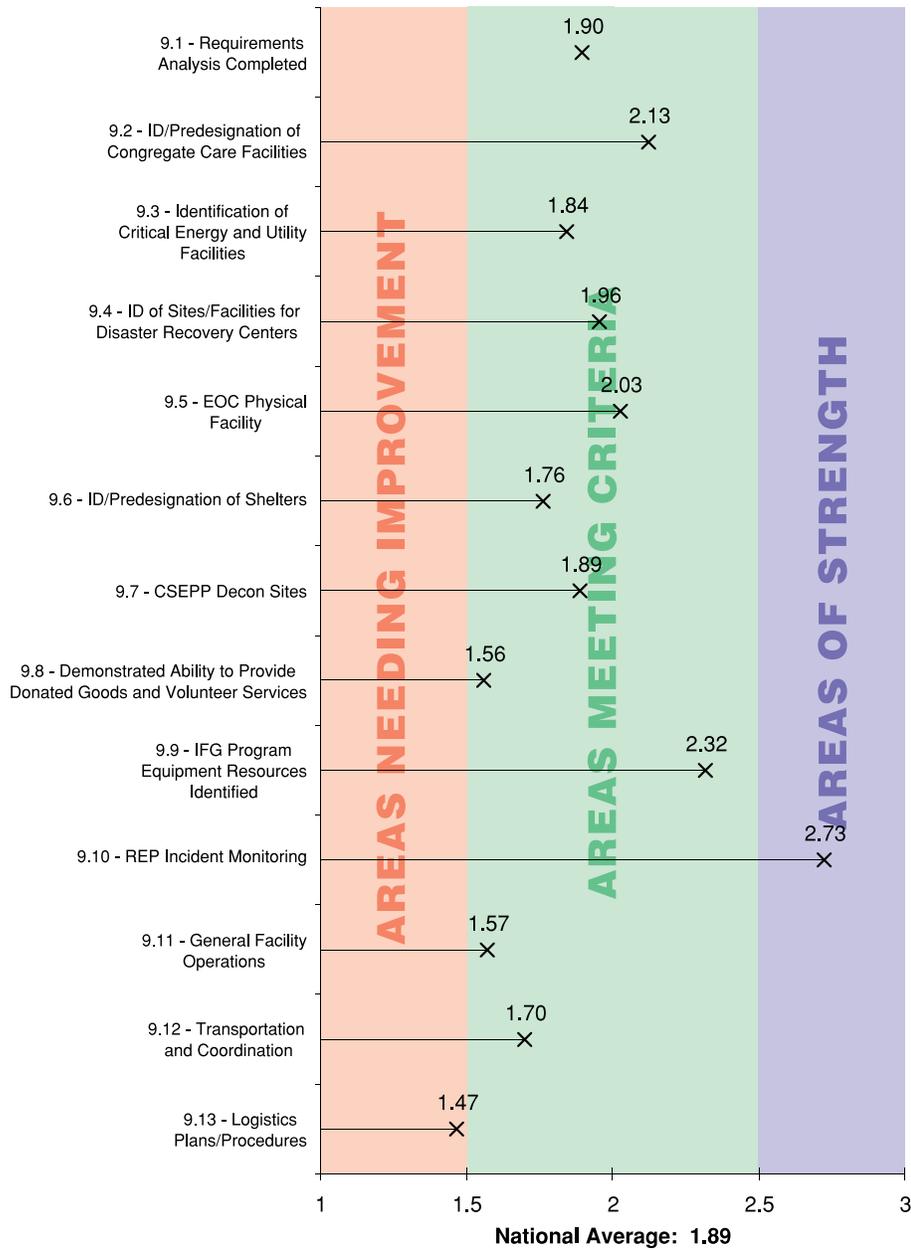
Attribute 9.23–Disposal

Requires a procedure for disposing of items that have been damaged, destroyed, or are expendable.

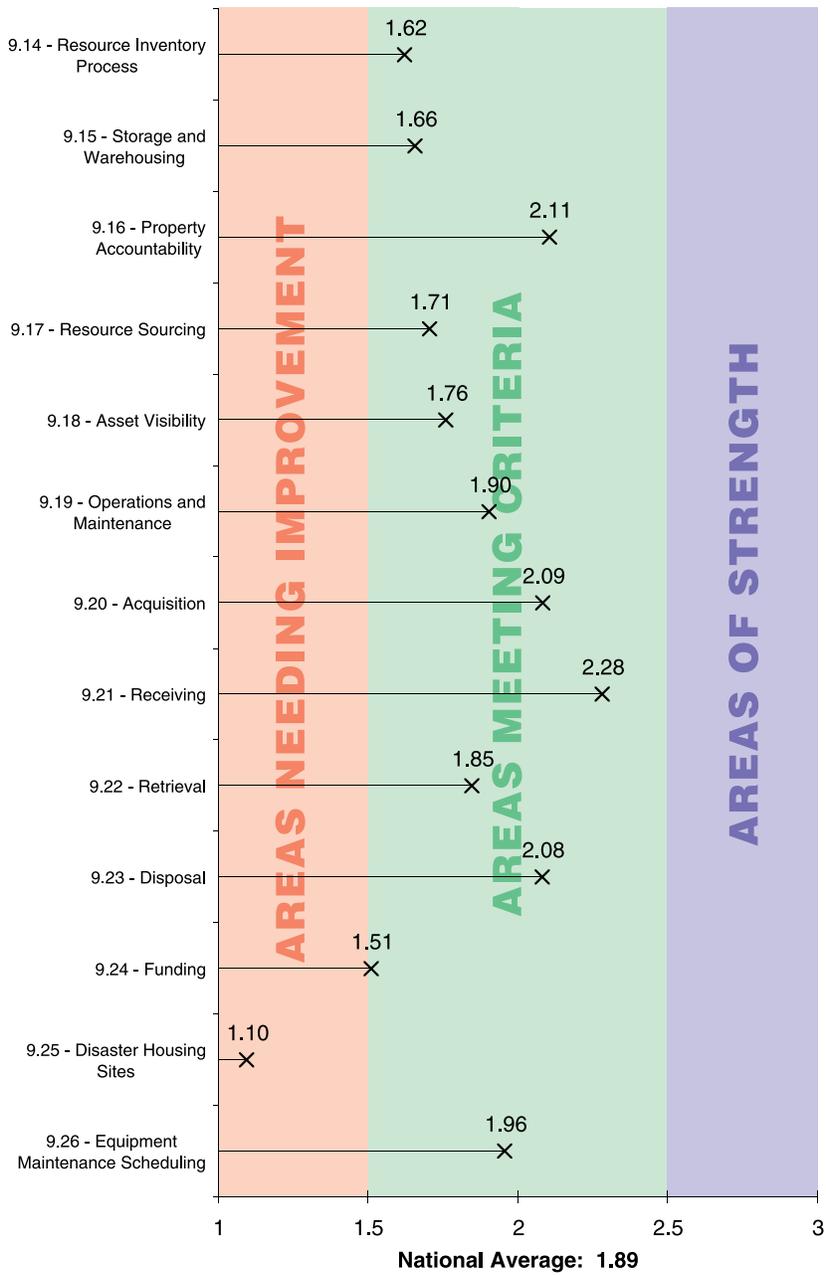
Attribute 9.26–Establish Maintenance Scheduling Program for Physical Equipment

Requires the establishment of a maintenance scheduling program for physical equipment used in disasters.

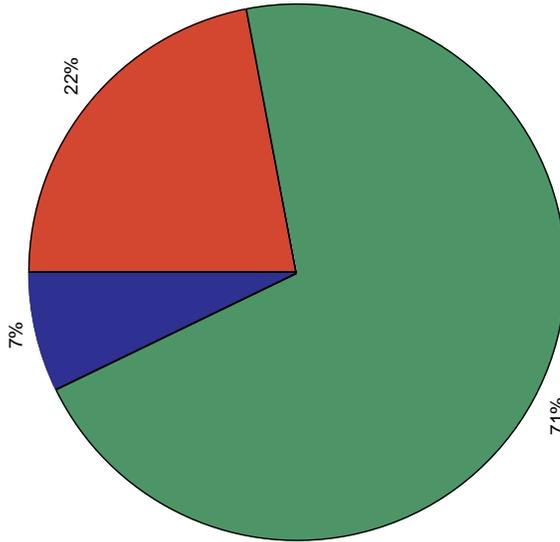
**Logistics & Facilities
Attribute Summary**



**Logistics & Facilities
Attribute Summary**

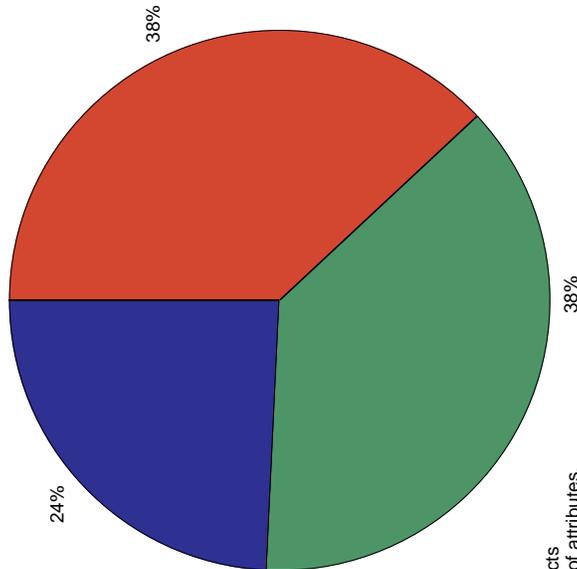


9.0 Logistics & Facilities
EMF Breakout By States

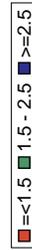


Note: Reflects percentages of States.
National Average: 1.89

9.0 Logistics & Facilities
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 1.89



EMF #10–TRAINING

THE IMPORTANCE OF TRAINING

In this last decade, the United States is experiencing numerous different types of disasters having greater magnitude, affecting larger numbers of our citizens and costing more, and requiring

Definition: Assessments, development, and implementation of a training/education program for public officials and emergency response personnel.

sophisticated and timely response than ever before in our history. The diversity of Federal/State Government and private sector organizations involved in mitigation, response, and recovery is growing. There is also a greater cultural diversity among victims than ever before.

Emergency management in the United States is now a multi-billion-dollar-a-year endeavor. The requirement for professional, experienced disaster managers has never been greater. FEMA recognizes that THE KEY for building a nationwide, inter- and intra-Governmental cadre of professional emergency managers is TRAINING.

Access to high-quality emergency management training is another critical factor for meeting communities' needs in the time of a disaster. It is widely believed that a well trained staff is one of the most important elements of disaster preparedness. In recent years, FEMA has worked hard to improve emergency management training in terms of its quality, availability, and its responsiveness to State and local needs. Since FEMA's adoption of this philosophy, its Federal/State emergency management partnership has contributed directly to the enhanced performance of emergency managers.

Of all data assessed within 56 States, the overall rating for Training is 2.10, indicating that this capability is currently at the acceptable level within CAR's three-level rating system ("Normally meets the respective Attribute/Characteristic").

The National Average
is 2.10.

Strengths By Attribute

The goal of training is to change behavior. Normally that translates into providing a solution to a problem by teaching the individual how to perform the function correctly. Training programs that consistently meet this goal generally consist of several ingredients. Successful States have an appointed training officer; that training officer is enrolled in the FEMA Master Trainer Program; and the State maintains training records for all personnel trained. We have discovered that FEMA cannot develop all of the training that is needed by States and local jurisdictions. The Master Trainer Program teaches State and local emergency managers how to perform a needs assessment, design, develop, deliver, and evaluate training activities. It gives States and local jurisdictions the capability to do more for themselves.

Attribute 10.1–Conducts an Annual Training Management Analysis

The detailed analyses by individual States of their respective training management plans, procedures, and methodologies.

31 States report conducting quality annual training management analyses, consistently meeting this attribute.

30 States report having a strong program that promotes the development and publication of a schedule of training activities that meets the needs of its citizens.

33 States report providing their annual training analyses data to FEMA as part of their annual Cooperative Agreement (CA).

Attribute 10.2–State Emergency Management Training Program

A comprehensive training program designed for emergency management personnel at all levels, covering all facets of emergency management.

28 States report having a strong Emergency Management Training Program.

30 States report having a strong program that promotes the development and publication of a schedule of training activities that meets the needs of its citizens.

41 States report having a Training Officer appointed to their respective staff.

21 States report having their Training Officer enrolled in the FEMA Master Training Program sponsored by FEMA, Emergency Management Institute (EMI), or attending other appropriate courses.

30 States report maintaining detailed training records for their personnel (type, date, and individual personnel).

Attribute 10.4–Course Design

Utilization of systematic instructional design techniques when designing courses.

50 percent of the States report having developed and/or used a proven form of systematic instructional course design.

18 States report that their course design includes training activities that facilitate the learning of targeted skills.

15 States report that their staff use checklists to ensure adherence to recognized practices.

Attribute 10.6–Course Delivery

Those procedures, techniques, and methodology utilized by the instructor to convey the desired course material.

33 States reported a high caliber training course delivery capability consistently meets this attribute.

22 States report having a strong cadre of qualified instructors.

25 States deliver training using a variety of methodologies, techniques, and personnel as demonstrated by Level 1 evaluation instruments.

26 States deliver a high-quality training program as demonstrated by Level 1 evaluation instruments.

Attribute 10.9–Briefing/Training for Department, Agency, Organization Heads

Review and dissemination of emergency roles and procedures for those individuals in key emergency management positions or others with a need to know.

29 States consistently meet this attribute.

24 States report having sponsored seminars (emergency roles and procedures) within the past year.

Attribute 10.10–Response Training Programs for Emergency Responders

A comprehensive training program designed for emergency responders at all levels covering all facets of the response role supporting emergency situations.

26 States consistently meet this attribute.

33 States report their maintaining of detailed training records for their personnel (name, type, date, and costs (including retraining)).

Attribute 10.21–CSEPP Training

A comprehensive CSEPP Training Program designed for emergency responders at the State and local level.

70 percent of the States report having delivered CSEPP-related training courses as needed from approved course lists and having maintained adequate trained CSEPP cadre levels. These States have a capability that always or constantly meets this attribute.

Areas For Improvement By Attribute

Training for emergency first responders, planners, and public officials is relatively new

in the United States. The incidents in Oklahoma City and the Atlanta Summer Olympic Games have driven home the need for training in responding to, recovering from, and awareness of the hazards associated with an NBC terrorist incident. The passage of the Nunn-Lugar-Domenici Bill has increased the awareness of Federal, State, and local governments regarding the risks associated with this form of terrorism. Although modest amounts of money have been provided to State emergency management organizations, it has not been sufficient to provide any significant impact.

Moreover, States view this as a “Federal” responsibility due to the uniqueness of the NBC hazards associated with this new threat. FEMA is working with the Department of Defense (DoD) and other agencies to develop and deploy to the States the appropriate training modules needed for insertion into existing HAZMAT courses, and other related training to fill the NBC “Delta” at the State and local level.

Additionally, emergency management resources and priorities have changed over the past several years with FEMA’s movement away from training business and industry personnel. In light of recent disasters, it is apparent that training for business and industry is important and needs a renewed effort. New courses under development are designed to meet this need.

Attribute 10.13–Response Training Programs for Business and Industry

A comprehensive training program designed for individuals in business and private industry who are assigned or envisioned to hold designated emergency response roles in time of emergency.

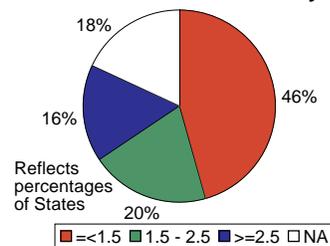
25 States reported needing improvement in this attribute.

22 States report their lack of established standards and individual qualifications of their respective personnel.

21 States report their lack of established training programs designed to meet their employees’ emergency job descriptions.

The national average for this attribute is 1.62. Forty-five (45) States indicated that this attribute was applicable to their State. Nine (9) States indicated that the attribute always or consistently met the criteria (>2.5). Eleven (11) States normally meet the criteria (>1.5 and <2.5). Twenty-five (25) States indicated that additional work is needed on this attribute (<1.5). Ten (10) States indicated that this attribute was not applicable to their State.

10.13 - Response Training Programs for Business and Industry



Attribute 10.22–Disaster Housing Resource Training

A comprehensive training program designed for emergency management professionals who are expected to support disaster housing programs during emergency operations.

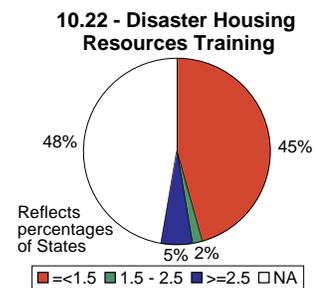
25 States reported needing additional work in this attribute.

17 States report their lack of an established State Disaster Housing Management Plan.

14 States report difficulty in handling disaster housing applicant contacts and casework.

16 States report: lack of disaster housing pre-operations planning; lack of disaster housing project evaluation and subsequent review; lack of adequate disaster housing maintenance operations; degraded ability to support disaster housing unit installations (working with building codes and specifications); inability to support the conduct of group site design, operations, and management; and difficulty in handling disaster housing leasing operations.

15 States report: lack of pre-identified disaster housing operational staging areas; lack of adequate inventory controls supporting disaster housing operations; lack of adequate transportation in support of disaster housing operations; and degraded ability to conduct inspection of sites and units.



The national average for this attribute is 1.22. Twenty-nine (29) States indicated that this attribute was applicable to their State. Three (3) States indicated that the attribute always or consistently met the criteria (>2.5). One (1) State normally meets the criteria (>1.5 and <2.5). Twenty-five (25) States indicated that additional work is needed on this attribute (<1.5). Twenty-six (26) States indicated that this attribute was not applicable to their State.

Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 10.3–Performance and Needs Analysis

The State specific analysis for perceived unmet training needs.

Attribute 10.5–Course Development

The State systematic use of the ISD model in developing courseware along with the use of effective checklists that incorporate recognized training practices.

Attribute 10.7–Evaluation

The States use of an effective established training program evaluation system.

It is widely believed that a well trained staff is one of the most important elements of disaster preparedness.

Attribute 10.8–Briefing/Training for Elected/Public Officials

The States unique training program targeted at Elected Officials that includes emergency roles and procedures for those officials.

Attribute 10.11–Response Training Programs for Non-EOC Government Employees with Emergency Assignments

The States unique comprehensive training program targeted at all non-EOC government employees with emergency assignments.

Attribute 10.12–Response Training for Voluntary Agencies

The States unique training program targeted at Voluntary Agency personnel with emergency response roles.

Attribute 10.14–Training for EOC Staff

A comprehensive emergency management training program designed for those personnel with responsibilities residing in their respective State, EOC.

Attribute 10.15–Training Program on Disaster Recovery and Mitigation Funding

A comprehensive State emergency management training program designed for those State emergency management personnel with responsibilities associated with disaster recovery and mitigation funding.

Attribute 10.16–Training for Damage Assessment Teams

A comprehensive State training program designed for those emergency management personnel assigned to damage assessment teams.

Attribute 10.17–NBC Terrorism Training–Preparedness

HAZMAT/EMS Response Teams trained to recognize, respond, provide health and medical services for mass casualties to NBC terrorist incidents.

Attribute 10.18–Response Training Programs for Mental Health Responders

A comprehensive State training program designed for those personnel assigned as mental health responders during disaster operations.

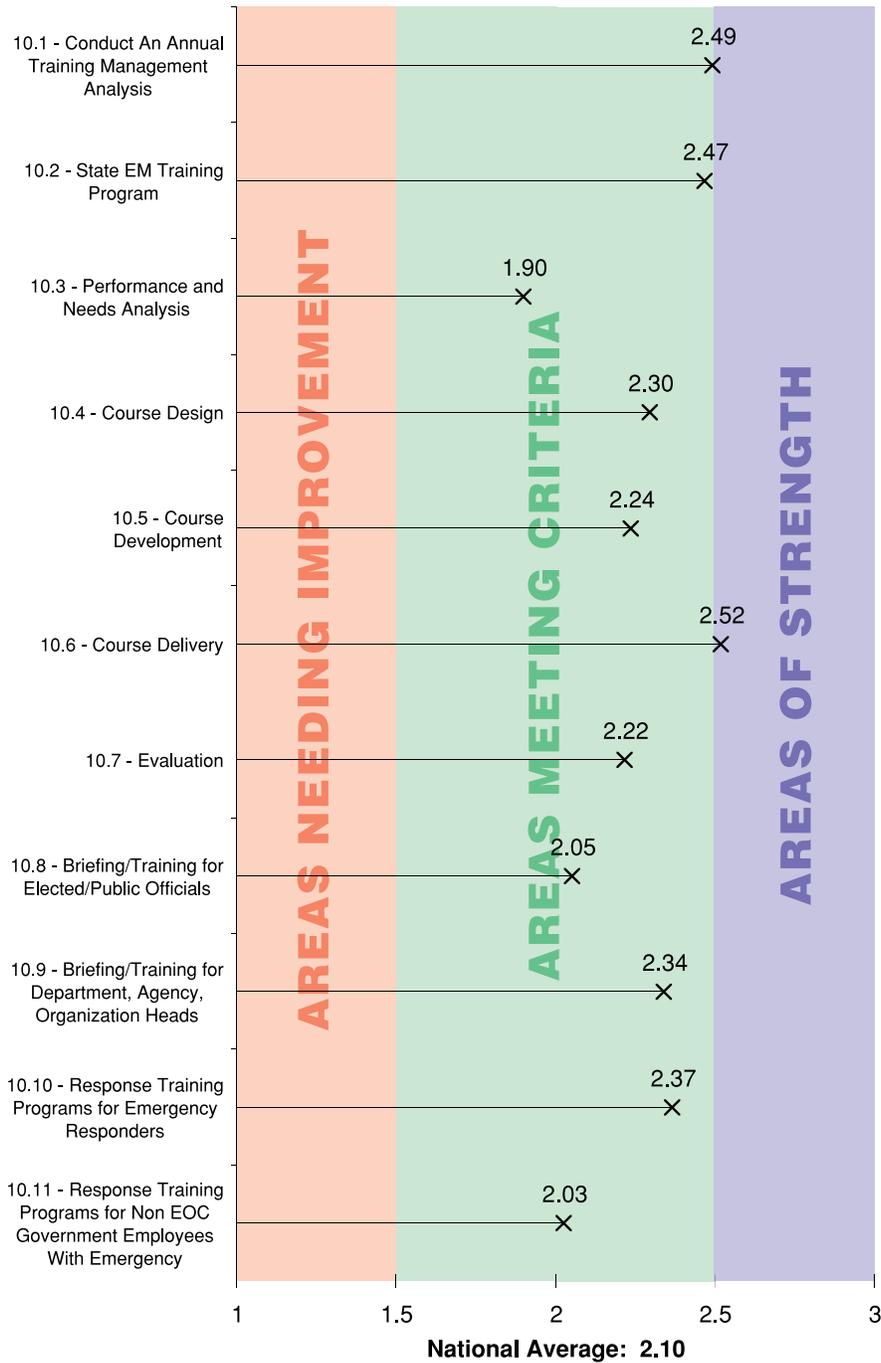
Attribute 10.19–Professionalism

The professional organizations, classes, certifications, etc., that the States emergency management cadre possess and/or belong to.

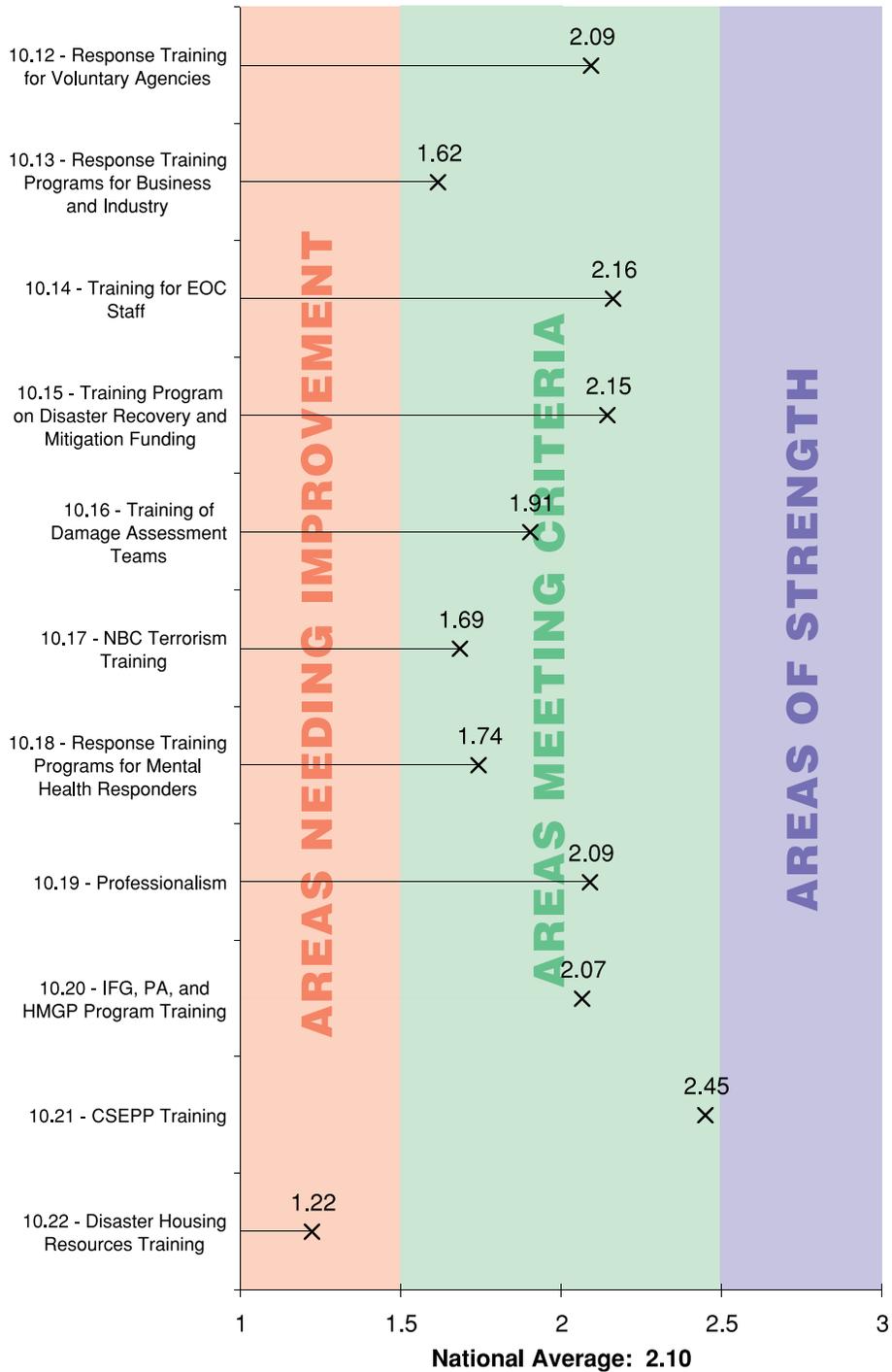
Attribute 10.20–IFG, PA, and HMGP Program Training

A comprehensive State training program designed for those personnel assigned responsibilities in the IFG, PA, and HMGP programs.

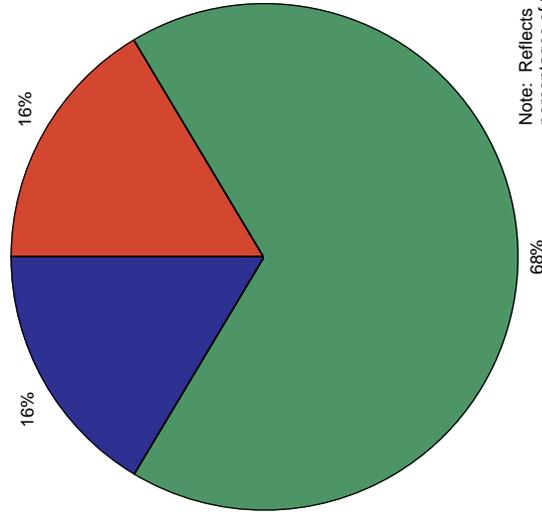
**Training
Attribute Summary**



**Training
Attribute Summary**

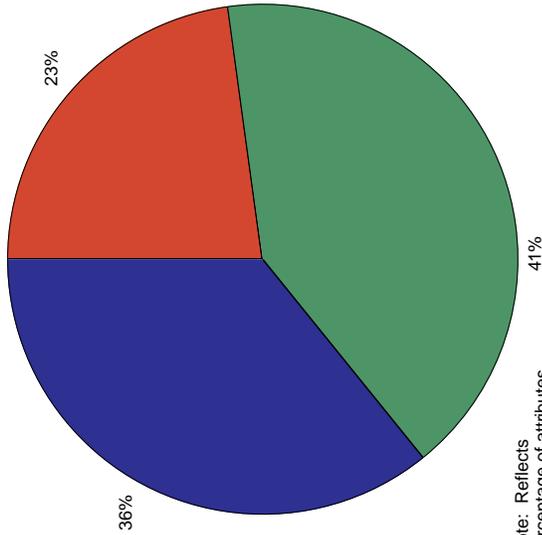


10.0 Training
EMF Breakout By States

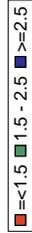


Note: Reflects percentages of States.
National Average: 2.10

10.0 Training
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.10



EMF #11–EXERCISES

THE IMPORTANCE OF EXERCISES

Definition: Assessment and evaluation of emergency response plans and capabilities through a program of regularly scheduled tests and exercises.

The past 8 years have brought some of the costliest disasters of the century. Public and Congressional concern about the ability of Federal, State, and local governments to respond quickly and effectively to these events resulted in numerous studies of emergency management capabilities. These conclusions and recommendations recognized the need to continually evaluate emergency response

capabilities at all levels of Government and the *value of exercises to the evaluation process*. To meet this need, FEMA moved from a program-based structure to one that is based on functions. FEMA’s exercise component developed a Comprehensive Exercise Program (CEP) to address the entire threat spectrum in partnership with emergency managers at all levels of Government and the private sector. The objective of the CEP is to improve the proficiency of Federal, State, and local governments to perform emergency management functions in an efficient and timely manner.

Since the CEP’s publication and subsequent implementation in 1995, the Federal/State emergency management partnership has benefited in a positive fashion reflecting a higher state of operational readiness. The following exercise-specific information is provided to delineate those enhancements and discuss the current national perspective.

Of all the data assessed within 56 States, the overall rating for Exercises is 2.29, indicating that this capability is currently at the acceptable level within the CAR’s three-level rating system (“Normally meets the respective Attribute/Characteristic”).

The National Average is 2.29, making it the second highest rated functional area.

Strengths By Attribute

Functional and full-scale exercises are the largest and most complex types of emergency management exercises. Accordingly, they present the greatest challenge to participating jurisdictions, organizations, and individuals, and yield the most significant evaluation information regarding emergency management capabilities. In 1996, FEMA canceled the requirement that States conduct certain numbers and types of exercises within a certain time period (with the exception of regulatory-based exercises). Since that time, the States have made their own determinations regarding the numbers and types of exercises they need to assess and to attain, or maintain, their desired level of emergency management capabilities. States that have experienced one or more major disasters in the past 2 years may have determined that they did not need an exercise in order to assess their capabilities.

Attribute 11.2–Functional and Full-Scale Exercises

Functional Exercise—An activity designed to test or evaluate the capability of individual or multiple emergency management functions or sub-elements within a function. This exercise is more complex than a tabletop exercise in that activities are usually under time constraint with the evaluation/critique coming at the end of the exercise. It can take place in some type of operating

center, the field, or a combination of both. For example, a direction and control functional exercise is designed to test and evaluate the centralized emergency operations capability and timely response of one or more units of Government under a stressful environment. It might be centered in an emergency operation center to simulate the use of outside activity and resources.

Full-Scale Exercise—An activity intended to evaluate the capability of emergency management systems in an interactive manner over a period of time. It involves testing a major portion of the basic functions existing within emergency operation plans and organizations in a stressful environment. A full-scale exercise includes mobilization of personnel and resources, the actual movement of emergency personnel and resources, and possibly the actual movement of the emergency workers, equipment, and resources required to demonstrate coordination and response capability. The EOC is activated and field command posts may be established.

28 States report having conducted functional and full-scale exercises over the past 2 years. These States have a capability that always or constantly meets the criteria.

Attribute 11.6—State’s Real Disaster/Emergency Operations Experience Is Factored Into All Facets of Exercise Planning

Real-world experience gained from actual disaster/emergency operations is considered and factored into the numerous levels of planning and preparation in support of all exercises.

26 States report having utilized real-world disaster experience when determining exercise scenarios, objectives, scheduling dates, and the specific use of human resources.

Attribute 11.9—Use of the Emergency Management Exercise Reporting System (EMERS)

EMERS is a system that collects data on the successes and problem areas reported by State and local jurisdictions based on exercises and real-world disaster occurrences.

28 States always or consistently report this data using the EMERS.

Attribute 11.10—Exercise Training

Development and implementation of exercise unique training programs for those individuals serving the emergency management community.

29 States report their emergency management personnel having completed FEMA’s Emergency Management Institute exercise design and evaluation course.

Attribute 11.11–Hazard-Specific Exercise Programs Comply with Necessary Federal/State Regulatory Requirements

The compliance with regulatory requirements of various hazard-specific emergency management exercise programs (e.g., Radiological Emergency Preparedness Program (REP) and the Hazardous Materials (HAZMAT) Program).

39 States report hazard-specific exercise program compliance with all necessary regulatory requirements.

To meet emerging trends in disaster management, FEMA has moved from a program-based structure to one based on functions.

Areas For Improvement By Attribute

Based on the criteria established for incorporation of data into this report, there are no weaknesses identified for any of the CAR's exercises attributes.

Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 11.1–A Requirements Analysis has been completed for this EMF and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all the emergency management aspects for exercises.

Attribute 11.3–Emergency Exercise Program Management

The States senior exercise official(s) have adequate access to policy determining officials, adequate staff, budget, and adequate time to perform exercise program management duties.

Attribute 11.4–Exercise Program Incorporates Hazard/Risk Assessment

The incorporation of the jurisdiction's hazard/risk assessment in the Comprehensive Exercise Program.

Attribute 11.5–State Level Multi-Year Exercises Schedule

A State's multi-year schedule designed to provide the basic exercise information (name, location, date, sponsor, etc.) covering all planned exercises over a specified period for emergency management professionals.

Attribute 11.7–Obtaining and Providing Technical Assistance

Receiving and providing assistance regarding exercise program management to all necessary customers within the State's emergency management community.

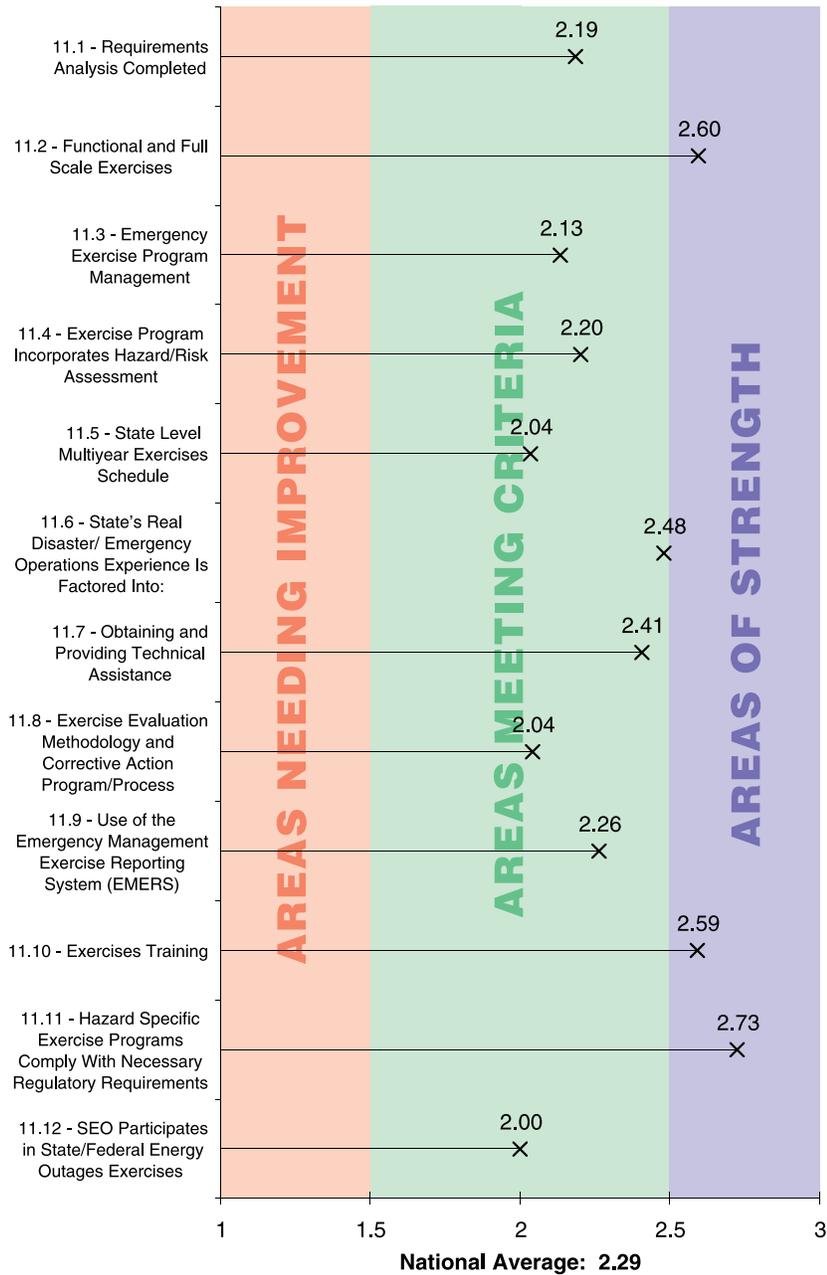
Attribute 11.8–Exercise Evaluation Methodology and Corrective Action Program/Process

The State's actual system of data collection and subsequent tracking capability for disaster-related activities.

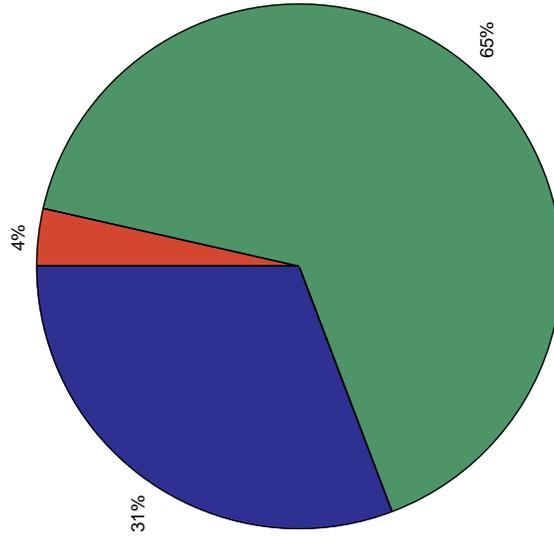
Attribute 11.12–The State Energy Office Participates in State/Federal Exercises to Test the State's Capability to Respond to and Recover From Energy Outages Caused By All Hazards

The actual participation of State emergency management personnel in State emergency energy outage response and recovery exercises.

**Exercises
Attribute Summary**

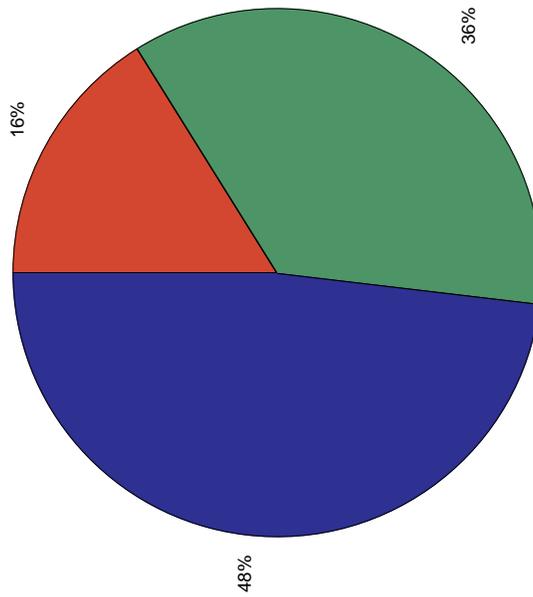


11.0 Exercises
EMF Breakout By States

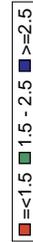


Note: Reflects percentages of States.
National Average: 2.29

11.0 Training
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.29



EMF #12–PUBLIC EDUCATION AND INFORMATION

THE IMPORTANCE OF PUBLIC EDUCATION AND INFORMATION

Definition: Procedures to disseminate and respond to requests for pre-disaster, disaster, and post-disaster information involving employees, responders, the public, and the media. Also, an effective public education program regarding hazards affecting the jurisdiction.

Public education and information is designed to provide the public with accurate, timely, and useful information prior to and throughout the emergency response and recovery period. This consists of information and instructions to the people at risk. For some hazards (e.g., nuclear power plant accidents), a jurisdiction may have only a few minutes to alert those at risk and pre-scripted information must go out with the initial warning. However, States and local communities must also deal with the wider public's interest and desire to help or seek information during a disaster. This includes information about what is

happening, what the response organization/State is doing, and what measures residents should take to be safe. People may call to find out about family members, offer help, or simply send donations. Accurate, timely information can help prevent the overloading of communications systems and networks. For information and instructions to reach State residents, these public information operations must develop ties to all media in–around the State and local jurisdictions. When disaster strikes, disaster victims need to know their Government is working. They need to know what to expect and where to find help. The public information operations must ensure the dissemination of information that:

- Is timely, accurate, consistent, and easy to understand;
- Explains what people can expect from their Government; and
- Demonstrates clearly that Government and voluntary agencies are working together to provide the services needed to rebuild communities and restore lives.

Of all reports reviewed within 56 States, the overall assessment for Public Education and Information is 2.01, indicating that this EMF is currently at the acceptable level within the CAR three-level assessment system (“normally meets the respective *attribute/characteristic*”). There is one of eight *attributes* (13 percent) that is considered a strength nationally: IFG Program Information. There are two of eight *attributes* (25 percent) that need improvement: System to Minimize Family Separation, and Risk Communication.

The National Average
is 2.01.

Strengths By Attribute

The vast majority of the nation has a very strong public awareness education program along with those critical procedures in place for accurate and timely dissemination of emergency public information. These close ties to the general population, along with proven processes, are of paramount importance during crisis periods.

Attribute 12.8–Individual and Family Grant (IFG) Program Information

That IFG program information (directives, plans, procedures, handouts, etc.) available for the emergency managers administering the program as well as for the end users (citizens).

This attribute received a total score of 2.47 out of a possible score of 3.0, indicating that this capability is currently at the acceptable within the CAR’s three-level rating system (“normally meets the respective attribute/characteristic”).

27 States have the capability to consistently provide emergency managers and citizens with IFG program information.

21 States report having updated and complete FEMA Helpline information for their citizens should disaster occur.

21 States report having updated and complete FEMA and State public information capabilities to support disaster operations.

A basic public expectation: “Provide public education and information to protect lives and minimize property loss.”

Areas For Improvement By Attribute

There should be an established system allowing for adequate information flow from

mass care facilities to the Mass Care Coordinator and from the Mass Care Coordinator to State/local public information and inquiry response organization. Under the Federal Response Plan (FRP), the American Red Cross (ARC) and ESF #6 (Mass Care) may operate a Disaster Welfare Information (DWI) System. The DWI system uses information from shelter lists, casualty lists, hospitals, the State EOC, and other sources to aid in family reunification and in responding to inquiries from immediate family members from outside the affected area about the status of their loved ones. There should be designated plans and procedures for interfacing the State system to minimize family separation and the DWI with the State/local emergency information and media affairs organization.

Attribute 12.4–System to Minimize Family Separation

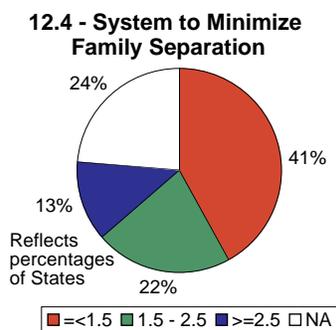
A State capability (program, plans, or procedures) designed to minimize that separation time of family members during times of disaster.

This attribute received a total score of 1.62 out of a possible score of 3.0, indicating that this capability is currently below average within the CAR’s three-level rating system (“needs additional work to meet respective attribute/characteristic”).

23 States report that they need additional work to minimize family separation time during disaster.

17 States reported having an existing system designed for the collection and dissemination of information on missing persons, known dead, and medical inpatients.

The national average for this attribute is 1.62. Forty-two (42) States indicated that this attribute was applicable to their State. Seven (7) States indicated that the attribute always or consistently met the criteria (>2.5). Twelve (12) States normally meet the criteria (>1.5 and <2.5). Twenty-three (23) States indicated that additional work is needed on this attribute (<1.5). Thirteen (13) States indicated that this attribute was not applicable to their State.



Attribute 12.7–Risk Communication Program (Community Disaster Education)

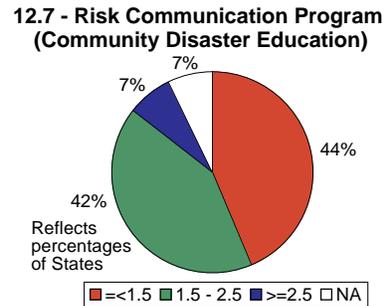
An all-hazard community disaster education program targeting all facets of community needs during and after disaster operations.

This attribute received a total score of 1.66 out of a possible score of 3.0, indicating that this capability is currently below average within the CAR’s three-level rating system (“needs additional work to meet respective attribute/characteristic”).

24 States report that they need additional work in their disaster education programs.

18 States report having developed and maintained a current and complete community profile.

The national average for this attribute is 1.66. Fifty-one (51) States indicated that this attribute was applicable to their State. Four (4) States indicated that the attribute always or consistently met the criteria (>2.5). Twenty-three (23) States normally meet the criteria (>1.5 and <2.5). Twenty-four (24) States indicated that additional work is needed on this attribute (<1.5). Four (4) States indicated that this attribute was not applicable to their State.



Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 12.1–A Requirements Analysis has been completed for this EMF and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all the Emergency Management aspects for the Public Education and Information function.

Attribute 12.2–Emergency Preparedness Education

The State has established means by which to communicate with the public vital information about emergency preparedness, hazards, and risk reduction through the use of brochures, the news media, public service announcements, community outreach, and public and private sector partnerships.

Attribute 12.3–Procedure for Disseminating and Managing Emergency Public Information

The State has established a Public Information Officer (PIO) and has developed policies and procedures for the gathering, categorizing, and dissemination of information through the PIO.

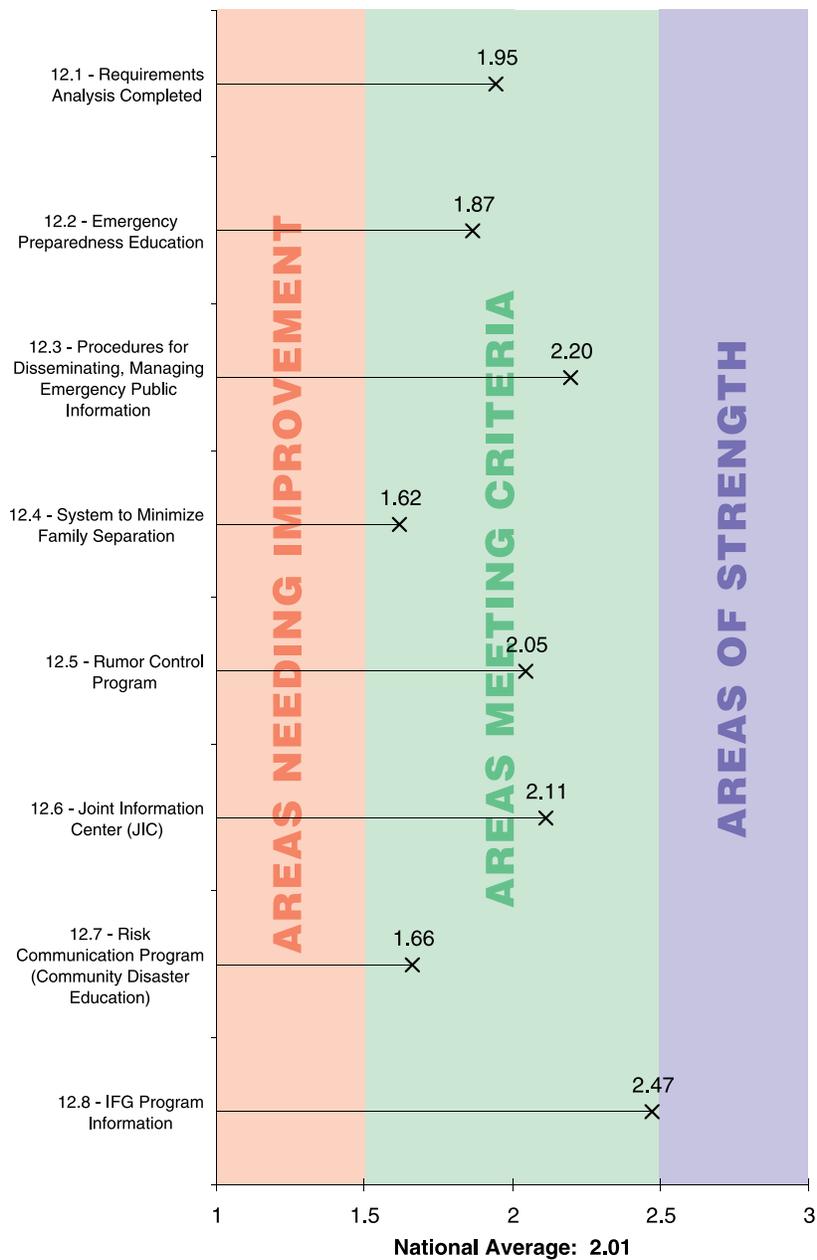
Attribute 12.5–Rumor Control Program

The State has established a system that can be utilized in emergencies such as phone banks and hot lines to prevent the spread of rumors that may cause panic or additional hazards.

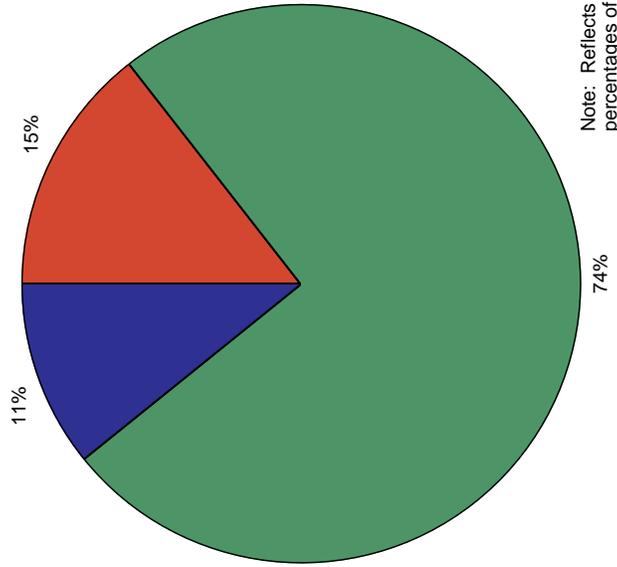
Attribute 12.6–Joint Information Center

The State has procedures for establishing a Joint Information Center between FEMA and the State for implementing local and regional media strategies that include systems to provide the disaster victims, the general public, and various target audiences with accurate, timely, consistent, and easy-to-understand information about disaster response, recovery, mitigation, and preparedness operations.

**Public Education & Information
Attribute Summary**

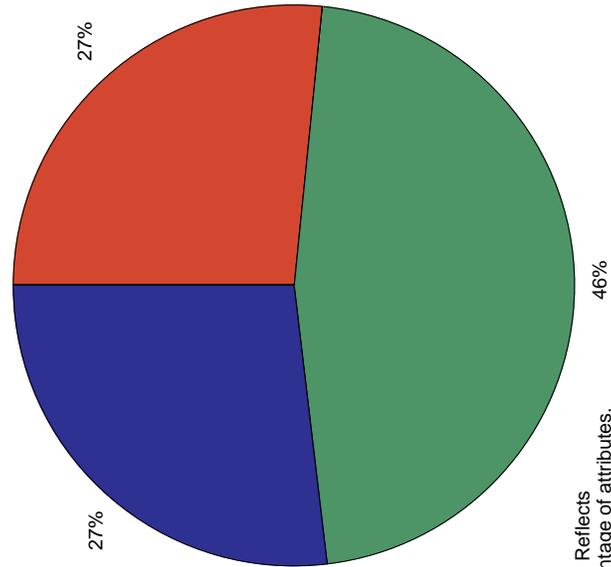


12.0 Public Education & Information
EMF Breakout By States

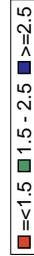


Note: Reflects percentages of States.
National Average: 2.01

12.0 Public Information & Education
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.01



EMF #13–FINANCE AND ADMINISTRATION

THE IMPORTANCE OF FINANCE AND ADMINISTRATION

Finance and administrative procedures are a crucial component of emergency management. Having both sound fiscal and administrative policies, procedures, and practices day to day, in advance of any disaster, provides the foundation needed in a disaster situation. Having sound emergency and expedited fiscal and administrative procedures to be activated during a disaster allows the necessary response and recovery to take place while ensuring fiscal accountability and propriety, and correct administrative procedures and activities.

Definition: Development of finance and administrative procedures to support emergency measures before, during, and after disaster events, and to preserve vital records.

The National Average is 2.38, making it the highest rated functional area.

Strengths By Attribute

Over half of the States report that they can consistently meet most of the finance and administrative attributes in this survey, and most of the rest of the States report that they can normally meet them. These attributes cover a wide range of fiscal and administrative requirements from establishing emergency fiscal and administrative procedures and records, to defining pre-award and after-the-grant policies for administering grants and cooperative agreements. In addition, these attributes cover the development of accounting systems to track and document emergency management costs and ensure compliance with Federal civil rights regulations.

Attribute 13.3–Emergency Fiscal Procedures Established

A series of emergency fiscal procedures needs to be established to ensure proper fiscal operations during a disaster crisis. Emergency procurement procedures need to be established for use in the event that normal procedures prove to be too slow in the crisis. Procedures for emergency fiscal recordkeeping need to be agreed upon as well as procedures for defining the type of open purchase orders that will be allowed and the predesignation of specific budget categories.

27 States report that they consistently meet this attribute, having established emergency fiscal procedures applicable to disasters.

20 States report having defined the open purchase orders that need to be established and the normal procurement procedures that need to be suspended during a disaster.

22 States report having pre-designated budget categories.

Finance and Administration was the highest rated functional area in the CAR assessment.

Attribute 13.4–Administrative Fiscal Procedures and Records

During a disaster, emergency fiscal procedures need to be followed if normal procedures are to be suspended. Essential fiscal records during this disaster period need to be maintained and collected.

25 States report that they consistently meet this requirement to develop emergency administrative fiscal procedures and records.

23 States report that they have developed specific procedures to document costs and preserve essential records during disasters.

Attribute 13.5–Pre-Award Policies for Administering Grants/Cooperative Agreements

Pre-award policies for administering grants and cooperative agreements allow for the smooth execution of grants and cooperative agreements needed in a disaster. Establishing program and eligibility requirements, allowable costs, procedures for review, and responsibilities for financial management are also required under this attribute.

35 States report that they consistently meet this attribute of establishing pre-award policies for administering grants and cooperative agreements.

32 States report that have specifically incorporated Office of Management and Budget (OMB) administrative requirements embodied in the “Common Rule.”

37 States report that they consistently use standard established forms for pre-award administration.

31 States report that they have defined allowable and unallowable costs, indirect costs, excessive costs, and extraordinary costs.

29 States report that they have defined recipients’ responsibilities for sound financial management systems.

30 States report that they consistently have appropriate timing for cash drawdown from the Federal Government.

31 States report that they have a requirement for implementation of the single audit concept.

27 States report that they have assured recipients’ eligibility.

Attribute 13.7–After-the-Grant Policies for Administering Grants/Cooperative Agreements

After-the-grant policies for administering grants and cooperative agreements include policies for the smooth and fiscally correct closeout of grants and cooperative agreements, and procedures for the recovery of excess Government funds or property. Additional procedures for appropriate audits and review of findings, and use of inspections or investigations, if required, need to also be established under this attribute.

29 States report that they have consistently established after-the-grant policies for administering grants and cooperative agreements.

26 States report that they have management processes to track costs questioned by auditors and to assure a timely resolution.

28 States report that they perform annual audits on grants and cooperative agreements.

25 States report that they consistently use auditors, inspectors, or investigators in areas of alleged weaknesses, fraud, abuse, or mismanagement.

28 States report that they consistently coordinate the results of audits, inspections, or investigations with FEMA and other agencies.

Attribute 13.8–Performance Partnership Agreements

PPAs are 5-year strategic planning memorandums of understanding between each State and FEMA defining the emergency management partnership. These PPAs establish performance goals and objectives for all-hazards emergency management.

25 States report they are always able to establish PPAs in partnership with FEMA, and another 21 States report that they normally can meet this attribute.

23 States consistently use the PPAs in their strategic planning processes, and another 14 States normally use them in strategic planning.

23 States consistently brief their chief executive annually concerning the PPAs, and another 10 States normally do so.

Attribute 13.9–System to Ensure Compliance with Federal Civil Rights Regulations

Specific Federal civil rights regulations must be followed by States to use Federal funds in support of emergency management. A State coordinator has to be designated, an implementation plan must be developed, and a system to ensure compliance and collect compliance data must be established and maintained.

37 States report that they have a system in place to consistently assure compliance with Federal civil rights regulations.

29 States report that they have designated a State coordinator for civil rights activities.

30 States report that they have a civil rights implementation plan.

29 States report that they consistently give public notice of FEMA financed programs that are covered by civil rights regulations.

21 States report that they have a compliance data collection system.

27 States report that they have a Civil Rights Compliance Officer.

Attribute 13.11–Accounting System to Track and Document Emergency Management Costs

States need to develop and maintain an accounting system able to track and document emergency management costs.

36 States report that they have established the capability to track and document emergency management costs consistently.

Areas For Improvement By Attribute

No particular weaknesses are indicated for this attribute.

Basic Capability By Attribute

Listed below are those attributes that were not classified as either areas of strength or areas needing improvement. These attributes meet the basic capability criteria.

Attribute 13.1–A Requirements Analysis has been completed for this EMF and is the basis for the assessment

A Requirements Analysis involves the State completing a comprehensive analysis of all the Emergency Management aspects for the Finance and Administration function.

Attribute 13.2–Emergency Administrative Procedures Established

Requires that emergency administrative procedures are established and emergency job descriptions written.

Attribute 13.6–Grants/Cooperative Agreement Administration Post-Award Policies

Requires that States monitor and analyze post-award performance of recipients and sub-recipients, and that prompt action is taken, as necessary. Also, requires that a final management system provide information and reports, and that indirect, excessive, or extraordinary costs have been negotiated with recipients and problems resolved. Finally, that financial controls be established to ensure proper payments.

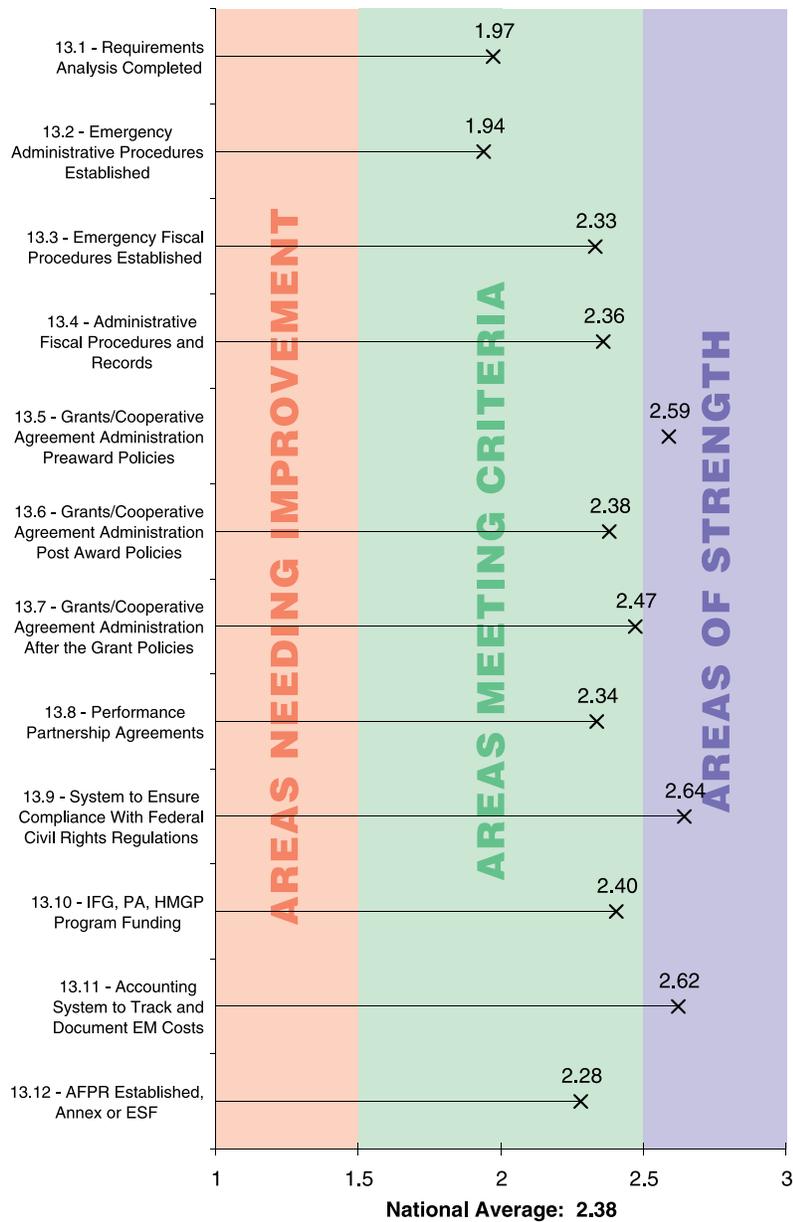
Attribute 13.10–IFG, PA, HMGP Program Funding

Requires that States can operate and manage with correct fiscal procedures the IFG, PA, and HMGP programs, as well as provide for cost share contingency funding, administrative costs, and an "Additional Assistance Program."

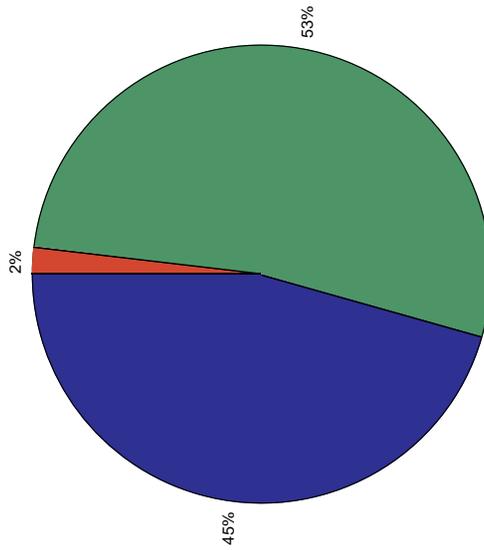
Attribute 13.12–Function of Administrative and Fiscal Procedures and Records (AFPR) Established, Maintained as a State Emergency Plan Annex or ESF

Requires that the appropriate administrative and fiscal procedures and records be established and maintained in the State Emergency Plan Annex or ESF. Such administrative and fiscal procedures include having an emergency recordkeeping system, developing SOPs, and defining the laws and policies for jurisdictions' emergency fiscal responsibilities.

**Finance & Administration
Attribute Summary**

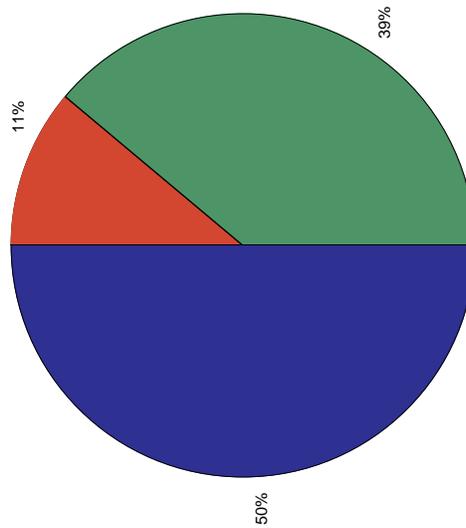


13.0 Finance & Administration
EMF Breakout By States

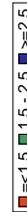


Note: Reflects percentages of States.
National Average: 2.38

13.0 Finance & Administration
Attribute Breakout



Note: Reflects percentage of attributes.
National Average: 2.38



V

HAZARD-SPECIFIC ANALYSES



PART V

HAZARD-SPECIFIC ANALYSES

"Since 1993, over 1.4 million Americans have been impacted by disasters that resulted in Presidential declarations....On the Federal side alone, disasters have cost a total of over \$20 billion in public funds that might have been used for public education, job training, and health care—for investments in our children and our Nation's future."

*Kay C. Goss
FEMA Associate Director for Preparedness, Training,
and Exercises*

The Federal Emergency Management Agency (FEMA) is responsible to lead and support the nation in a comprehensive, risk-based, all-hazard emergency management program. As part of its mission, FEMA supports or sponsors a number of hazard-specific emergency management programs: the National Earthquake Hazards Reduction Program (NEHRP), the National Flood Insurance Program (NFIP), the Hurricane Program, the Chemical Stockpile Emergency Preparedness Program (CSEPP), the Radiological Emergency Preparedness (REP) Program, and Fire and Emergency Management programs.

The analyses that follow compare the average scores of States subject to particular hazards (and participating in hazard-specific programs) to average scores of the other States and the national average scores.

In all the hazard-specific program analyses, average scores for the States under consideration fall within the range considered as a basic capability (>1.5 and <2.5). The numerical assessment for each Emergency Management Function (EMF) varies slightly, from a high of 2.17 for the CSEPP States to a low of 2.04 for the NEHRP States with a high or very high seismic hazard.

These assessment results depict stronger profiles for CSEPP, REP, and flood States. The results also confirm that the Federal Government needs to continue its policy of effective implementation of hazard mitigation measures designed to contribute to the long-term economic and environmental well-being of all communities as well as protecting the natural and cultural resources of our nation.

Designated Flood States

Designated flood zones encompass more than 167,000 square miles of land in the States and Territories. Areas with an estimated 1-percent annual chance of flooding account for more than one tenth the land mass of 26 States: *Alabama, Arizona, Arkansas, California, Connecticut, Florida, Georgia, Illinois, Indiana, Kentucky, Louisiana, Massachusetts, Michigan, Mississippi, Missouri, New Jersey, New York, North Carolina, Ohio, Pennsylvania, Puerto Rico, South Carolina, Texas, Virginia, Washington, and West Virginia.*

Analysis of EMF Data

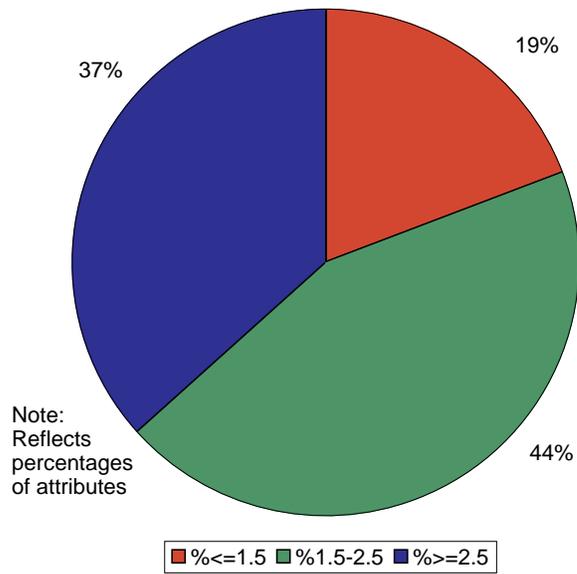
This section compares CAR results for these “flood States” to the average results for all 56 States and for the other 30 States, at both the EMF and attribute levels.

Referring to the chart below, the combined average for flood States is **2.15**. Overall, numerical assessments for the designated flood States are 4.37 percent above the national average in the EMFs assessed by the CAR, and 8.37 percent above non-flood States’ scores.

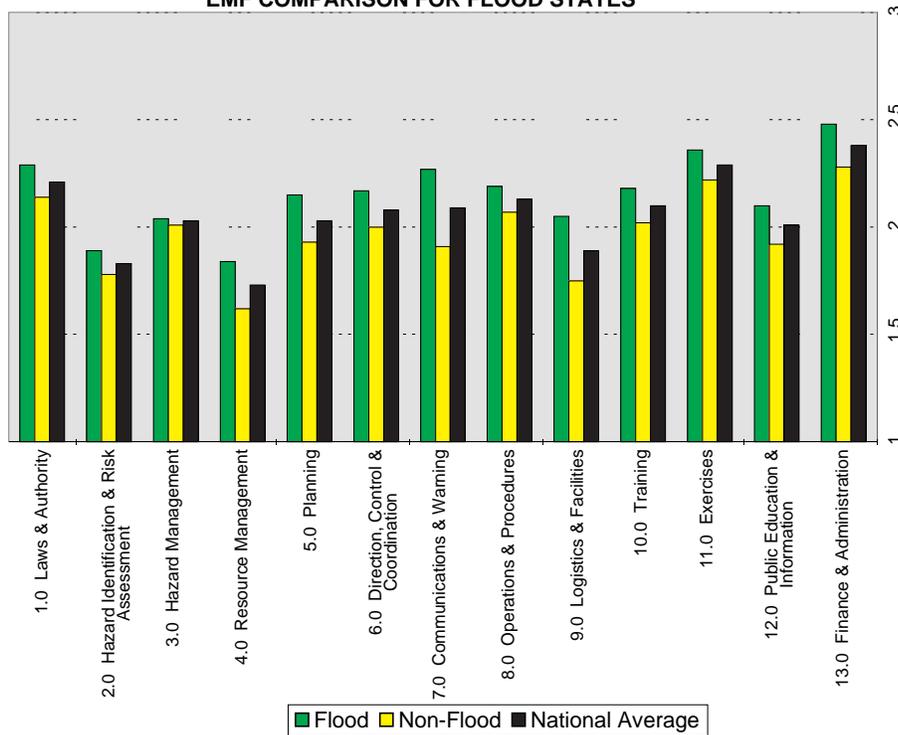
Emergency Management Function	National Avg.	Flood State Avg.	Non-Flood Avg.	Flood v. National	Flood v. Non-Flood
Laws and Authorities	2.21	2.29	2.14	3.62% +	6.55% +
Hazard ID and Risk Assessment	1.83	1.89	1.78	2.73% +	5.82% +
Hazard Management	2.03	2.04	2.01	0.49% +	1.47% +
Resource Management	1.73	1.84	1.62	6.36% +	11.96% +
Planning	2.03	2.15	1.93	5.91% +	10.23% +
Direction, Control, and Coordination	2.08	2.17	2.00	4.33% +	7.83% +
Communications and Warning	2.09	2.27	1.91	7.93% +	15.86% +
Operations and Procedures	2.13	2.19	2.07	2.82% +	5.48% +
Logistics and Facilities	1.89	2.05	1.75	8.47% +	14.63% +
Training	2.10	2.18	2.02	3.81% +	7.34% +
Exercises	2.29	2.36	2.22	3.06% +	5.93% +
Public Education and Information	2.01	2.10	1.92	4.29% +	8.57% +
Finance and Administration	2.38	2.48	2.28	4.20% +	8.06% +
TOTALS	2.06	2.15	1.97	4.37% +	8.37% +

The charts on page 115 depict the attribute breakout for flood States by score and also the EMF comparison of the flood States to the non-flood States and to the national aggregate.

Attribute Breakout for Designated Flood States



EMF COMPARISON FOR FLOOD STATES



Designated Hurricane States

Hurricanes Hugo and Andrew resulted in losses in the tens of billions of dollars, but if their tracks had been only slightly different, damages could have approached \$100 billion. Damage potential is increasing, with coastal properties being developed four times faster than the rest of the Nation; therefore, the emergency management capabilities and readiness of States subject to hurricanes is of particular interest to the States and the Federal Government.

This section focuses on 24 States that historically are subject to hurricanes. These States are *Alabama, American Samoa, Commonwealth of the Northern Mariana Islands, Connecticut, Delaware, Florida, Georgia, Guam, Hawaii, Louisiana, Maine, Maryland, Massachusetts, Mississippi, New Hampshire, New Jersey, New York, North Carolina, Puerto Rico, Rhode Island, South Carolina, Texas, Virgin Islands, and Virginia.*

The average scores of these States, as broken down into the 13 EMFs, are compared to the national averages and the average numerical assessments of the 33 non-hurricane States. See charts on page 117 and on page 118.

There is an increasing hurricane damage potential . . .

Analysis of EMF Data

Referring to the chart on the facing page, the 24 hurricane States have an average EMF assessment of **2.08** based on the combined scores from the 13 EMFs. This is approximately the same average score as the national average, 2.06, and the average for the non-hurricane States, 2.05. Consequently, the 24 hurricane States score at approximately the same level of emergency management capability and readiness as other States in the nation. While individual EMF scoring differences are small, the hurricane States do score approximately 4 to 7 percent better than non-hurricane States in the following EMFs: Hazard Identification and Risk Assessment; Resource Management; Logistics and Facilities; Training; and Exercises.

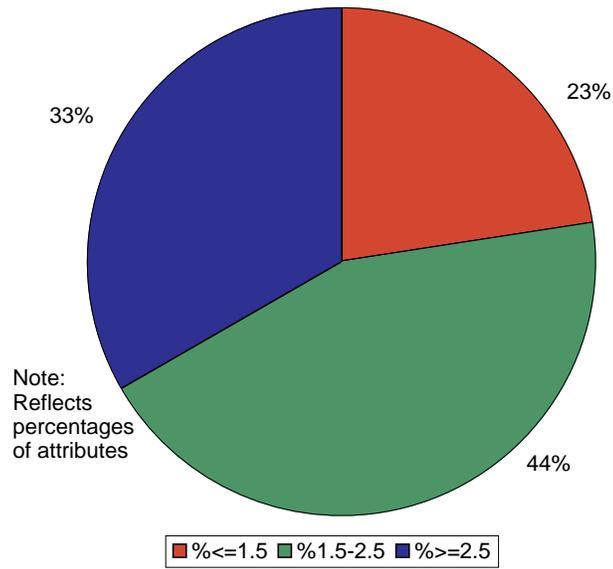
However, hurricane States score approximately 4 percent less than non-hurricane States in two EMFs: Laws and Authorities, and Hazard Management.

Since hurricanes, or the threat of hurricanes, are relatively frequent in the hurricane States, it might be expected that these States would score better in every EMF, and score better by a higher percent; however, this assumption is not supported by the data. With hurricane States scoring only 1.5 percent better than non-hurricane States, and only 0.9 percent better than the national average, the CAR data show that the hurricane States have the same level of emergency management capabilities as the rest of the nation.

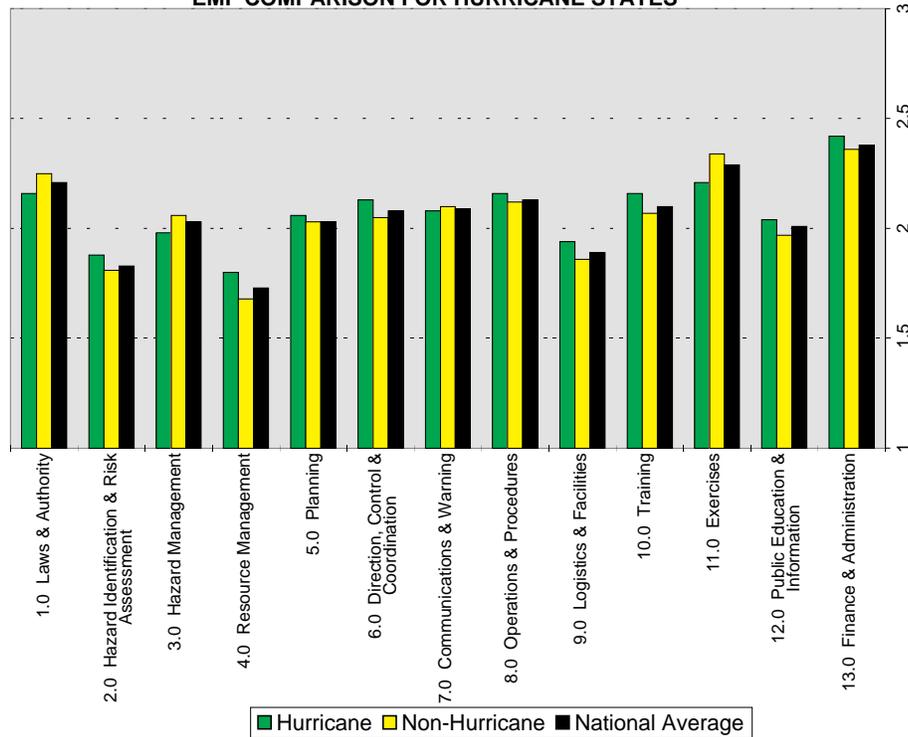
Designated Hurricane States

Emergency Management Function	National Avg.	Hurricane Avg.	Non-Hurricane Avg.	Hurricane v. National	Hurricane v. Non-Hurricane
Laws and Authorities	2.21	2.16	2.25	2.3% -	4.2% -
Hazard ID and Risk Assessment	1.83	1.88	1.81	2.7% +	3.7% +
Hazard Management	2.03	1.98	2.06	2.5% -	4.0% -
Resource Management	1.73	1.80	1.68	4.1% +	6.7% +
Planning	2.03	2.06	2.03	1.5% +	1.5% +
Direction, Control, and Coordination	2.08	2.13	2.05	2.4% +	3.8% +
Communications and Warning	2.09	2.08	2.10	0.5% -	1.0% -
Operations and Procedures	2.13	2.16	2.12	1.4% +	1.9% +
Logistics and Facilities	1.89	1.94	1.86	2.7% +	4.1% +
Training	2.10	2.16	2.07	2.9% +	4.2% +
Exercises	2.29	2.21	2.34	3.5% -	5.9% +
Public Education and Information	2.01	2.04	1.97	1.5% +	3.4% +
Finance and Administration	2.38	2.42	2.36	1.7% +	2.5% +
TOTALS	2.06	2.08	2.05	0.9% +	1.5% +

Attribute Breakout for Designated Hurricane States



EMF COMPARISON FOR HURRICANE STATES



National Earthquake Hazards Reduction Program (NEHRP)

Since the inception of NEHRP 20 years ago, the NEHRP agencies (FEMA, U.S. Geological Survey, National Science Foundation, and National Institute of Standards and Technology) have combined efforts to reduce the devastating effects of earthquakes in the United States. FEMA is the lead agency for the NEHRP. Part of FEMA’s role is to provide assistance to State and local communities’ efforts in this area.

This section compares CAR results for States with high and very high seismic hazards to national average scores and the average scores of States without a high seismic hazard. The States classified as having a high or very high seismic hazard are *Alaska, American Samoa, Arizona, Arkansas, California, Guam, Hawaii, Idaho, Illinois, Indiana, Kentucky, Missouri, Nevada, New Mexico, Oregon, Puerto Rico, South Carolina, Tennessee, Utah, Virgin Islands, Washington, and the Commonwealth of the Northern Mariana Islands.*

Analysis of EMF Data

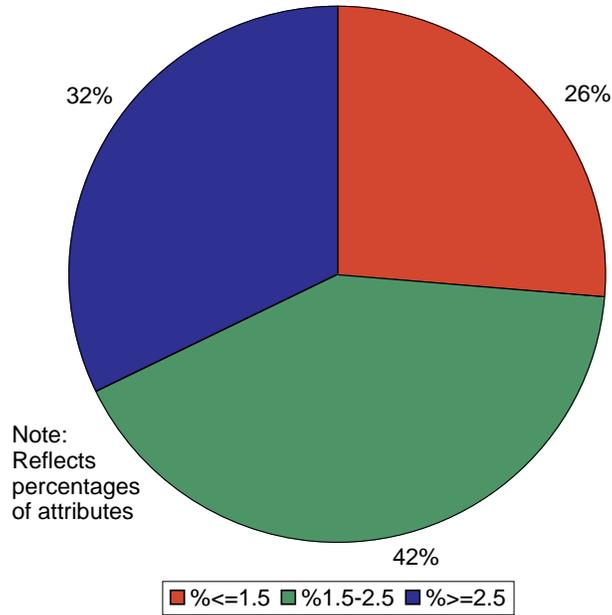
Referring to the chart below, the overall average for States with a high or very high seismic hazard is **2.04**. This is only 0.97 percent lower than the national average.

While these earthquake prone States score within the range considered as a basic capability (>1.5 and <2.5) in all EMFs, for four of these EMFs (Hazard ID and Risk Assessment, Resources Management, Logistics and Facilities, and Public Education and Information) the scores are lower than 2.0. This may indicate a need for attention to these areas; however, scoring differences between the earthquake prone States and the rest of the nation are minimal.

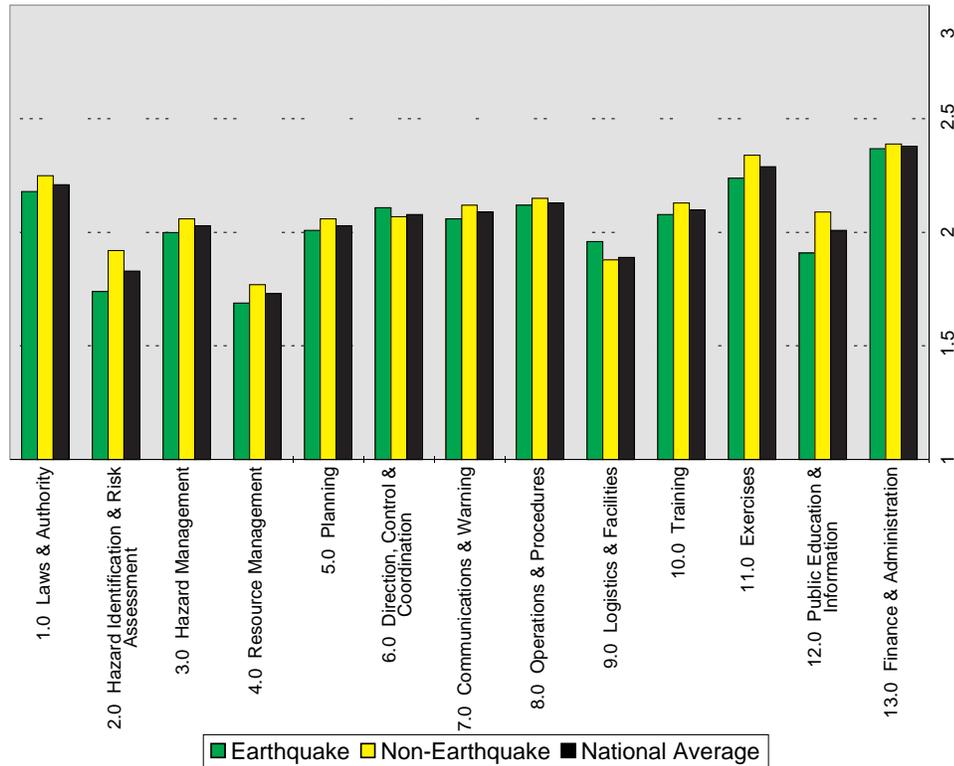
Emergency Management Function	National Avg.	NEHRP Avg.	Non-NEHRP Avg.	NEHRP v. National	NEHRP v. Non-NEHRP
Laws and Authorities	2.21	2.18	2.25	1.36% -	3.21% -
Hazard ID and Risk Assessment	1.83	1.74	1.97	4.92% -	13.21% -
Hazard Management	2.03	2.00	1.99	1.48% -	5.00% +
Resource Management	1.73	1.69	1.76	2.31% -	4.14% -
Planning	2.03	2.01	2.03	1.00% -	1.00% -
Direction, Control, and Coordination	2.08	2.11	2.03	1.44% +	3.80% +
Communications and Warning	2.09	2.06	2.11	1.44% -	2.43% -
Operations and Procedures	2.13	2.12	2.13	0.45% -	0.47% -
Logistics and Facilities	1.89	1.96	1.87	3.70% +	4.59% +
Training	2.10	2.08	2.15	0.95% -	3.37% -
Exercises	2.29	2.24	2.34	2.18% -	4.46% -
Public Education and Information	2.01	1.91	2.06	4.98% -	7.85% -
Finance and Administration	2.38	2.37	2.38	0.42% -	0.42% -
TOTALS	2.06	2.04	2.08	0.97% -	1.96% -

The charts on page 120 depict the attribute breakout for earthquake States by score and also the EMF comparison of the earthquake States to the non-earthquake States and to the national aggregate.

Attribute Breakout for Designated Earthquake States



EMF COMPARISON FOR EARTHQUAKE STATES



Fire and Emergency Management

Fire is a pervasive and serious risk. Unlike other problems in disaster management that have a seasonal cycle, fires are a constant threat. If loss of life is taken as a measure of consequence, fire takes more lives than all other hazards combined. Between 1988 and 1996, there was a total of 917 on-duty firefighter deaths caused by fire, and a total of 44,500 civilian deaths caused by fire. Specifically, there were 94 on-duty firefighter deaths in 1996, and 4,990 civilian fire deaths in 1996. Property damage resulting from fires amounted to \$9.406 billion. Fire is a risk that cannot be totally eliminated, but a risk that can be successfully mitigated by building codes, code enforcement, fire prevention and public education programs, and fixed fire protection systems in residential occupancies.

Fire risks need to be examined in both the urban and in the urban wild land interface. The challenge of managing wild land fire in the United States is increasing in complexity and magnitude. Catastrophic wildfire now threatens millions of wild land acres, particularly where vegetation patterns have been altered by past land use practices and a century of fire suppression. As the built environment extends into previous wild land areas, structures become at risk from woodland fire, like the paint fire in Santa Barbara County, CA, in June 1990.

Analysis of EMF Data

There are five attributes that address Fire:

1.4–Support States for building and fire codes; 3.4–Support States in the building and fire inspection program; 5.1–A requirements analysis has been completed for this EMF and is the basis for the assessment; 8.19–Fire protection; and, 8.42–Ability to request the Fire Suppression Assistance Program.

States reflect a good integration of the fire function into overall emergency management

If the loss of life is taken as a measure of consequence, fires take more lives than all other hazards combined.

preparedness. The States have, in general, recognized and planned for fire preparedness and fire response.

One area in which the States rated themselves lower was that of building inspection and code enforcement. Adoption of strong building codes is necessary but not sufficient to enhance fire safety. A strong building inspection and compliance program must enforce codes before the benefit of strong codes can be realized.

Radiological Emergency Preparedness (REP) Program

The REP Program was developed in the aftermath of the emergency at the Three Mile Island nuclear facility near Harrisburg, PA, in March of 1979. FEMA, the Nuclear Regulatory Commission (NRC), and other Federal agencies joined in the development of the Federal Radiological Emergency Response Plan (FRERP). FEMA Rule 44 Code of Federal Regulations (CFR) 350 establishes the policies and procedures for FEMA's initial and continued approval of State and local governments' radiological emergency planning and preparedness for commercial nuclear power plants. This approval is contingent, in part, on State and local governments' participation in joint exercises with licensees. State and local jurisdictions that fall within identified exposure planning zones are required to develop plans and procedures to protect the off-site civilian population within those areas in the event of an accidental release of radioactive materials. The program provides a planning basis for State and local emergency

preparedness efforts, and involves requirements in the following areas: assignment of responsibilities, an emergency classification system, notification procedures, communications, public education, accident assessment, protective response, radiological exposure control, recovery and reentry planning, training, and exercises and drills.

This section compares average scores of the 31 States that participate in the REP Program to national average scores and the average scores of the 25 non-REP States. The REP States are *Alabama, Arizona, Arkansas, California, Connecticut, Florida, Georgia, Illinois, Iowa, Kansas, Louisiana, Maine, Maryland, Michigan, Minnesota, Mississippi, Missouri, Nebraska, New Hampshire, New Jersey, New York, North Carolina, Ohio, Pennsylvania, South Carolina, Tennessee, Texas, Vermont, Virginia, Washington, and Wisconsin.*

Overall, States participating in the REP Program score higher above the national average in all functional areas.

Analysis of EMF Data

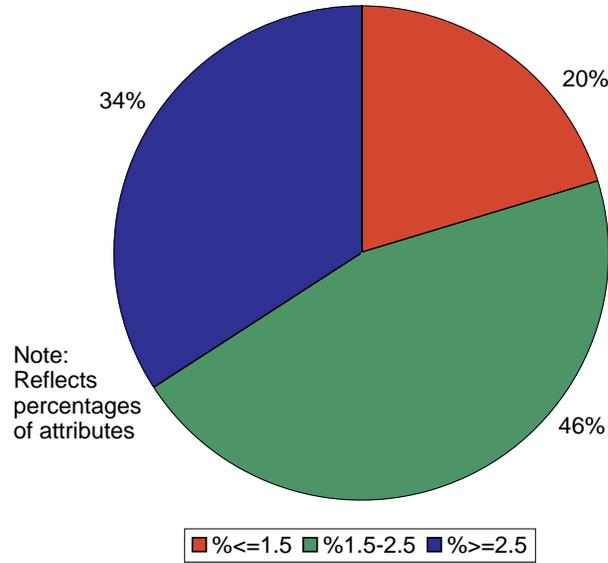
Referring to the chart on the facing page, the combined average of the REP States is **2.12**. REP States' scores exceeded the national average by the highest percentage in Logistics and Facilities, Public Education and Information, Resource Management, and Communications and Warning. The data suggest that regulatory requirements and

financial support from utilities have resulted in better emergency management capabilities for jurisdictions located near nuclear power facilities. This is notable in EMFs that involve investments in facilities (e.g., Emergency Operating Centers) and equipment (e.g., communications and warning systems), and in resource management generally.

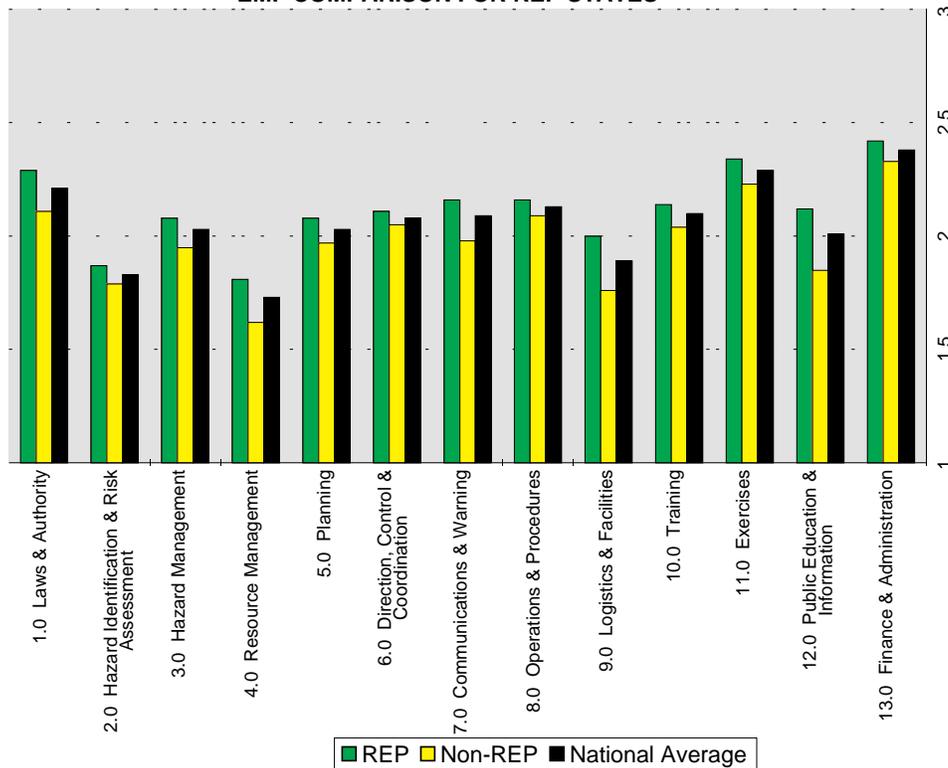
Designated Radiological Emergency Preparedness Program States

Emergency Management Function	National Avg.	REP States	Non-REP States	REP v. National	REP v. Non-REP
Laws and Authorities	2.21	2.29	2.11	3.60% +	8.50% +
Hazard ID and Risk Assessment	1.83	1.87	1.79	2.20% +	4.50% +
Hazard Management	2.03	2.08	1.95	2.50% +	6.70% +
Resource Management	1.73	1.81	1.62	4.60% +	11.70% +
Planning	2.03	2.08	1.97	1.90% +	5.60% +
Direction, Control, and Coordination	2.08	2.11	2.05	1.40% +	2.90% +
Communications and Warning	2.09	2.16	1.98	3.30% +	9.00% +
Operations and Procedures	2.13	2.16	2.09	1.40% +	3.30% +
Logistics and Facilities	1.89	2.00	1.76	5.80% +	13.60% +
Training	2.10	2.14	2.04	1.90% +	4.90% +
Exercises	2.29	2.34	2.23	2.20% +	4.90% +
Public Education and Information	2.01	2.12	1.85	5.50% +	14.60% +
Finance and Administration	2.38	2.42	2.33	1.70% +	3.90% +
TOTALS	2.06	2.12	1.98	2.90% +	7.00% +

Attribute Breakout for Designated REP States



EMF COMPARISON FOR REP STATES



Chemical Stockpile Emergency Preparedness Program (CSEPP)

Public Law 99-145 directs the Department of Defense (DoD) to dispose of the United States’ stockpile of lethal chemical weapons and munitions, distributed among eight sites. CSEPP was established to enhance the ability of the installations, the surrounding local communities, and their States to respond should a release occur. Under an agreement with the U.S. Army, FEMA manages funding to State and local jurisdictions for this program.

This section compares Capability Assessment for Readiness (CAR) results for the 10 CSEPP States to the average results for all 56 States and for the 46 non-CSEPP States, at both the Emergency Management Function (EMF) and attribute levels. The CSEPP states are *Alabama, Arkansas, Colorado, Kentucky, Illinois, Indiana, Maryland, Oregon, Utah, and Washington.*

Analysis of EMF Data

Referring to the chart below, the combined average for CSEPP States is **2.17**. Overall, the 10 CSEPP States’ numerical assessments are an average of 5.3-percent higher than the national average in all 13 EMFs, and 7.1-percent higher than the average for the non-CSEPP States.

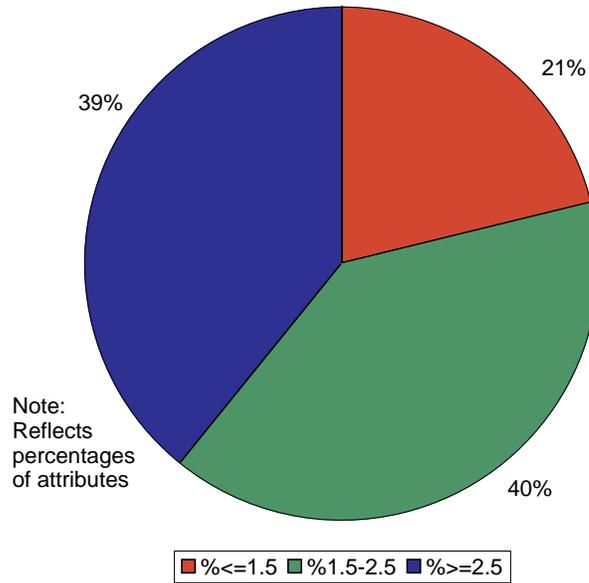
Driving this difference is the CSEPP States’ higher EMF numerical assessments in Laws and Authorities (2.37), Training (2.23), Exercises (2.44), and Finance and Administration (2.52).

The data suggest that participation in CSEPP has been beneficial to the emergency management capabilities and operational readiness of the CSEPP States.

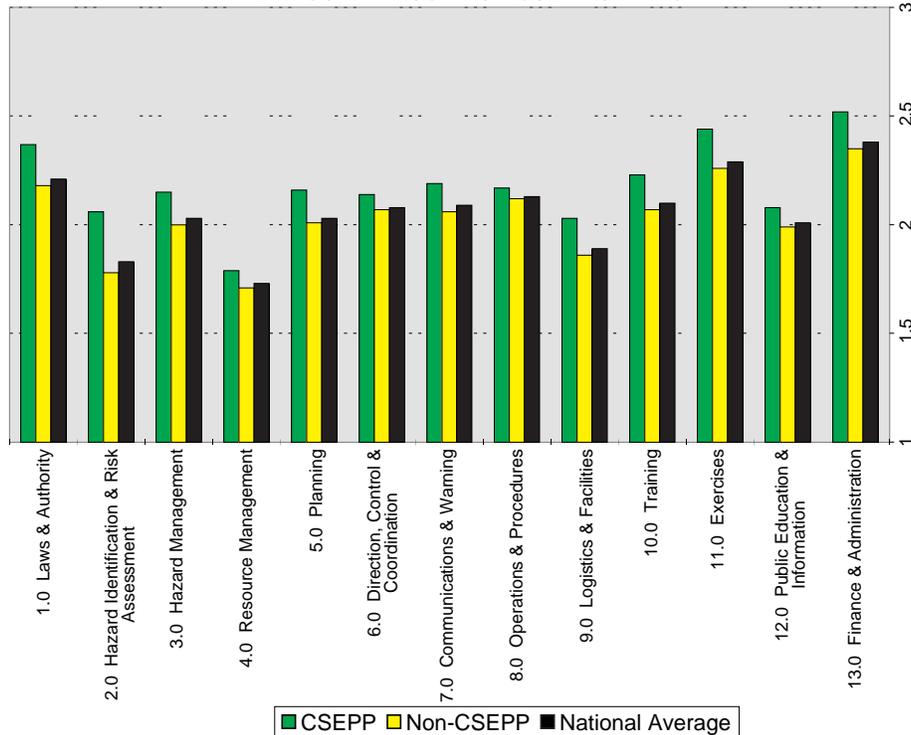
Emergency Management Function	National Avg.	CSEPP Avg.	Non-CSEPP Avg.	CSEPP v. National	CSEPP v. Non-CSEPP
Laws and Authorities	2.21	2.37	2.18	7.2% +	8.7% +
Hazard ID and Risk Assessment	1.83	2.06	1.78	12.6% +	15.7% +
Hazard Management	2.03	2.15	2.00	5.9% +	7.5% +
Resource Management	1.73	1.79	1.71	3.5% +	4.7% +
Planning	2.03	2.16	2.01	6.4% +	7.5% +
Direction, Control, and Coordination	2.08	2.14	2.07	2.9% +	3.4% +
Communications and Warning	2.09	2.19	2.06	4.8% +	6.3% +
Operations and Procedures	2.13	2.17	2.12	1.9% +	2.4% +
Logistics and Facilities	1.89	2.03	1.86	7.4% +	9.1% +
Training	2.10	2.23	2.07	6.2% +	7.7% +
Exercises	2.29	2.44	2.26	6.6% +	8.0% +
Public Education and Information	2.01	2.08	1.99	3.5% +	4.5% +
Finance and Administration	2.38	2.52	2.35	5.9% +	7.2% +
TOTALS	2.06	2.17	2.03	5.3% +	7.1% +

The charts on page 126 depict the attribute breakout for CSEPP States by score and also the EMF comparison of the CSEPP States to the non-CSEPP States and to the national aggregate.

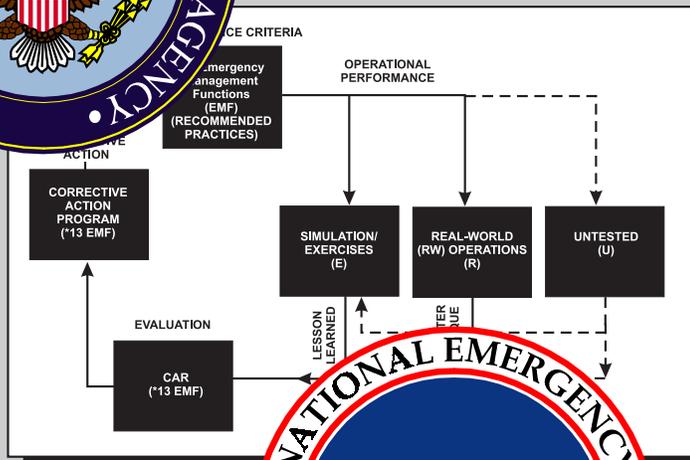
Attribute Breakout for Designated CSEPP States



EMF COMPARISON FOR CSEPP STATES



FUTURE DIRECTIONS



Disaster

Resistant

Communities

PART VI FUTURE DIRECTIONS

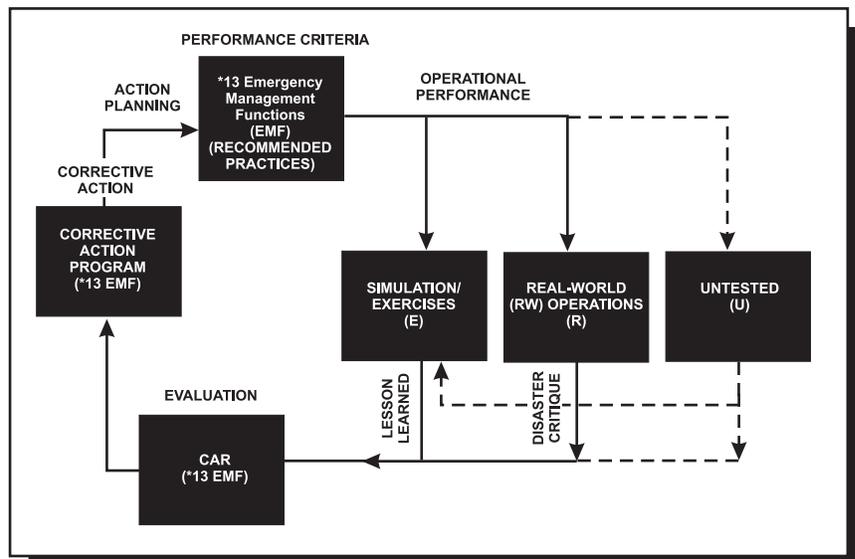
THE PERFORMANCE PARTNERSHIP AGREEMENT/COOPERATIVE AGREEMENT AS A FRAMEWORK FOR CONTINUOUS IMPROVEMENT

Since the inception of the Comprehensive Emergency Management (CEM) Cycle by the National Governors Association, the phases of mitigation, preparedness, response, and recovery have become the major structural framework for differentiating the activities that are performed in context with a given disaster event. Many State offices have organized around these four phases and the terms are deeply ingrained within the emergency management vernacular. However, for purposes of managing a program, the phases of CEM have less utility. The functions of management may fall fully or partially within each of these phases. For example, the emergency management function of “planning” applies equally to mitigation, preparedness, response, and recovery.

The Performance Partnership Agreement/ Cooperative Agreement (PPA/CA) brings structure to emergency program management, addressing the full range and scope of contingency planning and execution of those plans. The 13 Emergency Management Functions (EMFs) set forth in the Capability Assessment for Readiness (CAR) define the structure for program execution as well as for evaluation of program performance. The PPA/CA goals and objectives describe the strategic view of the partnership and the EMFs contain the “recommended practices” for achieving those objectives.

PPA/CA CONTINUOUS IMPROVEMENT CYCLE

Through the management function of “*evaluation*,” organizations review their “*operational performance*” against performance goals evolving from CAR. Currently, there are no



PPA/CA Continuous Improvement Cycle

nationally recognized benchmarks for emergency management.

For evaluation of “*simulations/exercises*” or “*real-world disaster operations*,” the critical data concerning results are generally contained in After-Action Reports (AARs)

from “*disaster critiques*” and reports on “*lessons learned*” from exercises. This data feeds into the CAR process. CAR is the primary evaluation technique for assessment of the program management criteria to determine both baseline capabilities and incremental progress towards program objectives. This evaluation data should be considered in the aggregate in formalizing appropriate changes to the program in future years.

The evaluation of exercises/simulations, real-world disasters, and the capability assessment process should **all** follow the same format (evaluation of the 13 EMFs). This process simplifies collection, documentation, and comparison of results from different sources, and reinforces the structural all-hazards approach to emergency management as opposed to evaluation of a particular program component. It also allows for capturing input to the next step in the management cycle: “*corrective action.*”

The “*corrective action*” phase takes the data derived from the “*evaluation*” part of the cycle and applies it to the 13 EMF criteria. This is often the most neglected aspect of the management process for continuous improvement. It requires a concentrated, systematic approach to track these actions back to the program functional criteria and assure that the standards and practices are revised, as needed.

The “*corrective action*” process feeds directly into the “*action planning*” step of the process for the revision/update of the annual CA component of the PPA and possible changes to the PPA strategic view, if appropriate. When the corrective actions from real-world disasters, exercises, and the CAR assessment have been reflected in the revised planning criteria and standards, the cycle repeats.

It is important to note that the phases of emergency management as portrayed in the CEM cycle are contained within the management process, but are distributed throughout the functions, as appropriate. For a State or locality that has not had a real-world test of its planning criteria, it derives its assessment of capability primarily from exercises. In cases where neither

exercises or real-world experience has been gained, EMFs are essentially “*untested.*” These untested functions are addressed in CAR and should flow back into a comprehensive exercise program for full evaluation.

Other States have frequent real-world disaster operations, or may have an unusually heavy disaster year. In those cases, it will call upon its real-world disaster experiences or results from critiques for input to its assessment of performance. This performance should reinforce data gained from CAR.

THE FEMA STRATEGY AND GPRA

The current draft FEMA Strategic Plan for 1998 to 2007, developed in compliance with the Government Performance and Results Act (GPRA) of 1993, will use the CAR process as a performance measure to evaluate the progress of States in enhancing their emergency management capability. An objective of the FEMA strategy will be to improve State capabilities by 20 percent before the year 2007. The baseline, developed from the 1997 CAR, will be used as the basis for future assessments.

During the short term, we will work with each of the States to review and negotiate the existing annual CAs to correct areas for improvement identified by CAR results during Fiscal Year (FY) 1998. In the longer run, PPAs may be revised as well, to reflect strategic changes in State emergency management programs.

“The concept of Disaster Resistant Communities will soon be piloted and may become the model for the future.”

--James L. Witt

An objective of the FEMA strategy will be to improve State capabilities by 20 percent before the year 2007.

BUILDING DISASTER RESISTANT COMMUNITIES

As we move into the 21st century, a primary focus of emergency management will be to build disaster resistant communities. This effort has to start at the grass roots, the local jurisdiction level, with support from the State. State leadership is crucial to encourage local communities to develop sound mitigation practices such as the very critical areas of hazard identification and vulnerability assessment. Local communities need to be encouraged to build alliances, constructive partnerships, and public-private collaborations to collectively reduce the community's vulnerability to disasters. States, in concert with local communities, need to take the necessary steps to protect and minimize the loss of life and property from the disasters they are likely to encounter.

The pilot CAR focused on the State level. Under State leadership, the CAR process can be applied to the local level as well. The CAR process is designed to bring together emergency management partners, focusing attention on mitigation and promoting community responsibility. In support of building disaster resistant communities, the involvement of elected officials; Federal, State, and local disaster personnel; representatives from the business, labor, insurance, and environmental communities; and local neighborhood towns and cities to collectively assess the emergency management infrastructure, will foster a comprehensive community involvement approach to

emergency management. CAR incorporates the solid background critical to building disaster resistant communities, including hazard identification and vulnerability assessment for identifying and prioritizing risk reduction actions in communities, which is necessary to support development of a strong State and local mitigation program.

Utilizing the State CAR assessment results, together with a local CAR assessment instrument, community planners will have a solid foundation on which to build mitigation efforts and a sound emergency management infrastructure. Thus, the State and local communities, in partnership with the private sector, can together take the steps necessary to reduce the costs and consequences of potential future disasters.

The end result supports the new FEMA Disaster Resistant Community initiative "Project Impact," changing the way America prevents and prepares for disasters. "Project Impact" is designed to challenge everyone in the country to take actions now that will protect families, businesses, and communities by reducing the effects of future disasters. CAR assessments, incorporating Disaster Resistant Community criteria as outlined in "Project Impact," have the potential to produce local mitigation and hazard information that can be integrated into the PPA/CA process, and into State and local strategic planning, by providing the solid background on which to build a strong mitigation strategy.

MEASURING EMERGENCY MANAGEMENT PROGRAM PERFORMANCE

Performance in each of the emergency management program areas must be related to some set of generally accepted performance criteria and must be measurable in order to be effective. Those performance criteria must also be generally applicable across the country to any size emergency management organization, regardless of location or organizational configuration. As noted earlier in this report, no such criteria exist.

The results of the CAR pilot year could yield those criteria in the form of “recommended practices” for emergency management similar to those being considered by the NFPA for disaster management. This is dependent upon the feedback received from the States as we move forward to improve the CAR process and assessment instrument. In 1995, the NFPA issued NFPA 1600 Recommended Practices in Disaster Management. A technical committee of the NFPA (comprised of

representatives of: NEMA; NCCEM; Federal, State, and local government; and business and industry organizations) developed the document, which will be issued in final draft in the Spring of 1998. The NFPA 1600 is currently undergoing revisions in committee. FEMA does not develop standards for State and local government, but supports their efforts to do so as it improves the overall capability of the emergency management profession and the national capability.

NEMA is currently investigating the feasibility of accreditation of State Emergency Management organizations based upon review of successful accreditation programs in other related fields such as fire and law enforcement. The results of NEMA’s work in this area will help guide FEMA in the development of appropriate performance measures for its programs. The current interest in the CAR process, standards development, and accreditation are all positive examples of the bold new direction in our partnership for preparedness for the 21st century.

“... CAR process, standards development, and accreditation . . . our bold new direction in our partnership for preparedness for the 21st century.”

IMPROVING THE CAR PROCESS AND INSTRUMENT

The CAR process is an evolving process, intended to be improved during the upcoming years in close coordination with the NEMA, the NCCEM, and other emergency management organizations. Workshops, currently scheduled in three locations, will focus on reviewing the CAR process in support of the PPA/CA. Topics to be addressed will include the CAR process, reassessment cycles, review of attributes and characteristics, weighting of questions, identification of Core Competencies, “recommended practices,” and a rating system.